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Civil Society and Democracy Strengthening Project
مشروع تعزيز الديمقراطية والمجتمع المدني

Participatory Organizational Needs Assessment Tool

(PONAT)

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User's Manual

Preface

Tamkeen, a civil society and democracy strengthening project, is proud to present the User's Manual for Tamkeen's Participatory Organizational Needs Assessment Tool (PONAT). Through the provision of grants and capacity building activities, Tamkeen aims to support the role of and preserve the space occupied by Palestinian civil society organizations (CSOs) in public discourse. This manual is one of several tools that Tamkeen is producing to help build the capacity of Palestinian CSOs.

PONAT aims to assess the capacity building needs of CSOs in a transparent, structured, systematic, and participatory manner. By presenting and detailing the main components and sub-components of a model organization based on CSO international best practices, PONAT hopes to encourage Palestinian CSOs to assess where they are in time and space in comparison to the model organization and peer organizations, and to begin a process that will ultimately lead to the development of a stronger CSO community.

Tamkeen commissioned two highly experienced Palestinian experts, Marwan Awartani and Mazen Hashweh, to survey the market of needs assessment tools and to develop a tool that best addresses the needs of Palestinian CSOs with all the political, social, cultural, economic, and other elements of complexity they face. Dr. Awartani and Mr. Hashweh brought complementary expertise and invaluable insights to this effort. Their ability to work under adverse conditions, their creativity in addressing the challenges they faced while developing and piloting the tool, and their receptivity and willingness to go through many iterations of this manual are greatly appreciated.

This manual would not have been possible without the strong commitment of the entire civil society specialist team of the Tamkeen project. In particular, I would like to highlight the leadership of my colleague, Ziad Abdallah, Tamkeen's director of field operations, who tirelessly reviewed all drafts of this manual and presented the team's comments to the consultants in a timely fashion.

The development of this manual involved numerous discussions on both conceptual and practical issues related to the type of tool that can best address the needs of Palestinian CSOs, which was in itself an intellectually stimulating and rewarding exercise.

— *Dr. Mohammed H. AlMbaid*
Chief of Party
Tamkeen Project

Prelude

This is an operational manual for PONAT, an assessment tool that will serve as a diagnostic instrument to help determine a CSO's capacity in the areas of program delivery, human resources, management, finance, and external relations. For this purpose, Tamkeen developed a detailed outline that included background information on design considerations, detailed descriptions of the organizational components and elements to be measured, and the assessment methodology. Subsequently, Tamkeen commissioned a team of consultants to build the tool and develop it in the form of a user's manual.

In developing the tool, the consultants worked in compliance with the agreed-upon scope of work (SOW), which mainly stipulated the following:

- The needs assessment tool should be based on Tamkeen's conceptual foundations.
- The resultant manual must be comprehensive and ready-to-use. In particular, it should be structured and written in a manner which allows a person with no background in organizational development (OD) and no experience with the tool to be able to read the manual and feel reasonably comfortable and confident to administer an assessment.
- The tool should contain a general survey, a climate survey, and a focus group component.

To develop this multifaceted tool, the consultants conducted a thorough literature review of available organizational needs assessment tools currently in use, including:

- PACT's Organizational Capacity Assessment Tool (OCAT)
- Participatory Organizational Evaluation Tool (POET)
- World Learning's Institutional Assessment Instrument (IAI)
- World's Education's Organizational Analysis Tool (OAT)
- America Development Foundation (ADF) Tool

And to a lesser degree:

- Participatory, Results-Oriented Self-Evaluation (PROSE)
- Institutional Development Framework (IDF)
- Dynamic Participatory Institutional Diagnosis (DPID)
- Organizational Capacity Indicator (OCI)
- The Yes/No Checklist Scorecard

In addition, a wide scope of climate surveys and focus group methodologies were investigated.

In designing the PONAT broad survey tool, the consultants drew on the areas, elements, and questions used in these various tools, but did not restrict themselves to them.

The detailed scope of work stipulated two main issues, to which the two consultants had to adhere. These are:

- The PONAT broad survey tool should utilize only yes/no questions. This means that no ordinal scale can be used.
- The five components or functions of an organization, which are measured by the assessment tool, are: program delivery, human resources, governance and management, finance, and external relations. In turn, each component is comprised of five discrete elements or sub-components.

This meant that for example, there is no main function under the heading “sustainability” or “organizational learning” as there is in some of the other tools. It also meant that “governance” is a sub-component of “management,” and not a main component or function by itself.

The consultants agreed with and worked according to these classifications. They made sure the components were integrated in the tool, but distributed as sub-components between the various stated functions. For example, in other tools, sustainability is a main function or component with four sub-components, namely: program/benefit sustainability, organizational sustainability, financial sustainability, and resource base sustainability. In PONAT, one can find program/benefit sustainability under the main component of “program delivery”; organizational sustainability is found under “external relations”; and financial sustainability is found under “finance.” As mentioned earlier, all the standard organizational capacity components are there, but perhaps under a different category, or under a different classification.

Furthermore, PONAT uniquely looks at physical resources as a sub-component of management, in contrast to all other tools, which do not consider physical resources at all in their analysis.

Following the development of a first draft version of the PONAT general survey, the survey was piloted with two CSOs, one in Jerusalem, and the other in Ramallah. The feedback obtained from the pilot was used to refine the survey now contained in this manual.

The development of the rest of the instruments has been a long and demanding process, and the integration and rolling up was even more challenging. This work would not have been possible without the full involvement of Tamkeen’s staff and professionals, whose guidance, assistance, support, and critical feedback were invaluable.

Although PONAT was developed within the context of Palestinian civil society, it is hoped that it will prove to be useful for CSOs elsewhere.

— *Mazen Hashweh and Marwan Awartani*

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ACRONYMS

CSO	Civil Society Organization
DPID	Dynamic Participatory Institutional Diagnosis
HR	Human Resources
IAI	Institutional Assessment Instrument
IDF	Institutional Development Framework
KSA	Knowledge, Skills, and Attitudes
MOU	Memorandum of Understanding
OAT	Organizational Analysis Tool
OCAT	Organizational Capacity Assessment Tool
OCI	Organizational Capacity Indicator
OD	Organizational Development
ODC	Organizational Development Committee
POET	Participatory Organizational Evaluation Tool
PME	Participatory Monitoring and Evaluation
PONAT	Participatory Organizational Needs Assessment Tool
PROSE	Participatory, Results-Oriented Self-Evaluation
USAID	United States Agency for International Development

SECTION I

Introduction

SECTION I

Introduction

Tamkeen is a USAID-funded project whose primary purpose is to help preserve, strengthen, and sustain the role of CSOs in Palestinian public discourse. To that end, Tamkeen supports a variety of activities to promote the organizational development (OD) of CSOs.

Tamkeen defines organizational development as planned changed intended to help an organization achieve its mission. As such, OD does not have *a priori* value. Rather, it is a means to an end, which is to make an organization more effective, legitimate, viable, and autonomous.

Organizational development is also part of a broader developmental strategy. In addition to supporting individual CSOs, Tamkeen aims to promote the development of a vibrant and sustainable community of CSOs as local development institutions. Collectively, the Palestinian CSO sector embodies a set of norms and values associated with democratic participation and social justice. Historically, it has consistently proven its ability to respond to constituent needs. In partnership with communities, government, and private enterprises, Tamkeen believes CSOs should continue to play a critical role in the development of Palestinian society.

Organizational development is a participatory process. The stakeholders of a CSO become committed to improving their organization by identifying its needs and determining how to address those needs. Tamkeen has developed the Participatory Organizational Needs Assessment Tool (PONAT) to help facilitate this process. The tool serves as a diagnostic instrument to help determine a CSO’s capacity in five areas:

- Program delivery
- Human resources
- Management
- Finance
- External relations

The results of an assessment provide a baseline and overall frame of reference for planning, implementing, and evaluating specific changes needed to strengthen a CSO. In addition, the assessment process itself is a means to educate CSO stakeholders about the attributes of an effective organization, to create a strong commitment to improvement, and to build consensus around future priorities.

Finally, it should be noted that the tool will continue to be adapted and improved based on actual use in the field. By definition, OD is an iterative process. As such, Tamkeen views the assessment tool as a work in progress.

SECTION II

Design Considerations

SECTION II

Design Considerations

Tamkeen's needs assessment tool has been designed according to the six following principles:

1. An organization can be thought of as a *system of related components* that work together to achieve an agreed-upon purpose. These components include program delivery, human resources, management, finance, and external relations. While these may not be inclusive, they do represent functional areas where most organizations have to have some capacity in order to be effective, legitimate, viable, and autonomous. In other words, Tamkeen's assessment tool is based on the idea of a "model" organization. It reflects the fact that there are certain characteristics, or *best practices*, common to most healthy organizations. Competent financial accounting and good constituent relations are two examples.

   Although the tool is based on a model, Tamkeen recognizes that each organization is unique. The relative importance of the five components varies according to the type, size, and age of an organization, and the environment in which it functions. For example, an organization whose primary mission is advocacy might emphasize external relations. A CSO with a large, established infrastructure might place more importance on management systems. Tamkeen's tool allows an organization to determine the relative weights of each of the five components.

   The tool does not work, however, if an organization rejects the validity of the model itself. By necessity, the tool makes judgments about the desirability of certain organizational forms and functions. Specifically, it reflects a Western bias toward organizations that are professionally run, have established systems to organize work, and whose products and services are state-of-the-art. Experience has shown that this is an effective "model." Tamkeen recognizes, however, that some organizations may pursue a different approach to capacity building.

2. Tamkeen's objective is to *strengthen an organization as a whole*, not just a particular component or function. For that reason, the assessment tool is designed to be used in its entirety. The principle underlying this approach is that each component is dependent on and shaped by the others. Though it is common for an organization to have different levels of capacity in different areas, the *interdependency* of the components means that an organization's long-term success depends in part on balancing needs in one area with those in another.

   For example, nascent organizations usually focus most of their energy on getting their product or service right. This is logical during the start-up phase and often leads to a rapid expansion in program delivery. Eventually, however, an organization must develop HR, management, and other systems necessary to support such programs. If left unaddressed, the lack of capacity in these areas can become an impediment to program delivery.

   Although the tool is designed to assess an organization holistically, that does not mean a

CSO should then try to address needs in all five areas simultaneously. In fact, a CSO would probably concentrate OD interventions only on the one or two weakest areas. Again, interdependency points to the need to balance the relative development of program delivery, human resources, etc.

Moreover, to work on all five components at once might introduce “system effects” that are hard to predict and even harder to control. Efforts in one functional area, for example, might have unintended consequences that negate interventions in another. The literature is full of case studies where grandiose OD schemes went awry because of failure to appreciate the inherent complexity of even the smallest organizations. Finally, if an organization were to work on all five components at once, it would probably become a distraction. This would be inconsistent with the principle that OD is simply the means to an end. It is not why a CSO exists.

3. *Why* a needs assessment is done is just as important as *how* it is done. It is, in fact, axiomatic that these two considerations are closely related. The design of Tamkeen’s tool emphasizes the following:

    - *Internal comparisons.* The primary purpose of a needs assessment is to determine an organization’s capacity in each of the five components. Knowing its internal strengths and weaknesses allows an organization to focus its efforts accordingly.

    - *Comparisons over time.* A secondary purpose is the ability to monitor relative changes in the same organization over time by conducting multiple assessments. Such comparisons allow an organization (and Tamkeen) to evaluate the efficacy of organizational development efforts.

    - *Comparisons with the “model.”* Needs assessments allow an organization to see how it compares relative to the “model” organization. Such comparisons are often used to develop long-term goals for an organization.

    - *Comparisons between organizations*. Donors, as well as associations and other networks, frequently use needs assessments to set standards, make funding decisions, and monitor performance. Although Tamkeen’s tool can be used for these purposes, it is not explicitly designed to do so, nor will Tamkeen make any such comparisons.

4. The literature on needs assessment includes many hierarchical systems that categorize an organization into a particular *stage* of organizational development. Organizations with little capacity are usually termed “nascent” or “start up” and those at the highest level are often deemed “mature” or “sustainable.” Tamkeen’s tool does not incorporate such a system. The primary reason is that it does not add significant value to the process. As stated, Tamkeen *emphasis is on internal comparisons and comparisons over time*. These do not necessitate an organization be classified into an overall taxonomy.

    If a CSO does want to compare itself to the model or against other organizations, it can simply use the numerical score resulting from a needs assessment (60 out of 100, for example). Rather than a hierarchy, OD is more appropriately viewed as a continuum along which an organization moves. As such, labels such as “nascent” are artificial constructs that often amount to little more than an unnecessary distraction.

A related reason Tamkeen’s tool does not use stages is that close scrutiny of the systems available indicates that “lower” stages tend to be defined in terms of a lack of some attribute that organizations at higher stages possess. There is little focus on appreciative inquiry — i.e., the strengths and potential of a nascent organization rather than the perceived weaknesses. This, of course, ignores the reality that some of the most effective and innovative organizations are start-ups.

5. As stated, *organizational development is a participatory process*. Tamkeen’s assessment tool is designed to be used with organizations that are fully committed to the process of organizational change and development. From a practical perspective, the rationale for this approach is that individuals and groups that have an interest in the development of an organization also have a stake in assessing needs and designing appropriate solutions. Moreover, these stakeholders, as those closest to the work being done, frequently have insights that positively inform OD efforts.

   From a broader perspective, the impetus for a participatory approach is to help foster a relationship based on mutual respect and trust between an organization and Tamkeen. This, in turn, helps ensure that OD efforts are driven by demand. Put another way, the ultimate efficacy of OD efforts are directly related to the ownership of such efforts by an organization’s leadership, staff, and constituents.

   A related consideration is that the assessment tool is designed to be used in conjunction with other sources of information on the needs of an organization. This is, after all, an assessment tool. It can help describe the relative strengths and weaknesses of an organization, but it does not prescribe a specific course of action that follows. The results must be interpreted and acted upon by the CSO and Tamkeen.

6. In designing the tool, Tamkeen took into account three significant methodological considerations:

   - *Objectivity*. By their nature, measures of organizational development are subjective. They rely heavily on individual perception, judgment, and interpretation. To the extent possible, Tamkeen has limited subjectivity by: (a) relying on a variety of data collection methods that balance perceptions with more empirical observations, (b) involving both internal and external assessors in the process, (c) clearly defining the aspect of OD being measured and the criteria against which it is being evaluated, and (d) using simple, unambiguous yes/no checklists rather than ordinal scales or other rating systems.

   - *Reliability***.** As previously stated, one of the key reasons for conducting a needs assessment is to track relative changes in one organization over time. Doing so effectively requires clarity and consistency in method. Otherwise, any change noted may reflect differences in technique rather than actual changes in the organization. To increase its reliability, Tamkeen has tried to make the tool as user-friendly as possible. Since it was designed to be used by someone with limited expertise in organizational development, detailed instructions, questionnaires, and other supporting materials are included. Moreover, the tool is designed to be used as-is — i.e., little or no customization is required.

- *Practicality.* Tamkeen has tried to ensure the tool is neither too time-consuming or unreasonably costly, yet able to provide a CSO with enough information that it can prioritize and take action to address its weaknesses. The level of effort required to use the tool is approximately one week of person-hours, assuming an eight-hour day. In practice, this time is usually spread over two to three weeks. The cost for a CSO is limited to work time lost for staff involved in the process. Tamkeen covers the cost of the outside facilitator.

SECTION III

Organizational Components and Elements

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Organizational Components and Elements

The five components or functions of an organization measured by the assessment tool are: program delivery, human resources, governance and management, finance, and external relations. In turn, each component is comprised of discrete *elements* or sub-components that reflect best practices worldwide. This section describes the components and elements in detail.

A. Elements of Program Delivery

Program Delivery:	The degree to which the products and/or services an organization provides reflect constituent needs and are appropriate, cost-effective, high quality, and sustainable.

Technical expertise. A measure of the degree of technical sophistication an organization has in its chosen field or sector. This includes current information on theory, methods and techniques, skills in applying the information, and the ability to access appropriate technical assistance when necessary.

Comparative advantage. A measure of an organization's track record and reputation among the community of organizations working in the same geographical location or technical field. Comparative advantage is based primarily on an organization's ability to consistently deliver a product or service more effectively relative to other organizations.

Program development. A measure of an organization's ability to assess the needs of its constituency and design appropriate and relevant programs that address those needs. An important aspect of effective program development is the extent to which an organization's constituency is viewed as a partner that actively participates in this process.

Monitoring and evaluation. A measure of the degree to which an organization has effective mechanisms for: (a) adapting and changing program activities in response to information received (monitoring), and (b) assessing the outcomes and overall impact of its program activities and integrating the results into future improvements in those activities (evaluation).

Sustainability. A measure of the degree to which an organization's efforts are likely to continue in the long term once support has been phased out. Sustainability is usually a function of support from constituents and local partners. It tends to occur when constituents perceive that programs are important and have validity to them, and when they participate in and feel a sense of ownership of a program.

B. Elements of Human Resources

Human Resources:	The degree to which directors, staff, volunteers, constituents, and other interested parties have the expertise, motivation, and opportunity to make meaningful contributions to an organization.

Organizational structure. A measure of the degree to which the work of an organization is divided and organized in a manner conducive to productive outcomes. Whether referring to work units or the individual positions that comprise them, an adequate organizational structure includes: (a) clarity in terms of roles and responsibilities, (b) well-defined lines of authority and communication, (c) mechanisms for coordination and conflict resolution, and (d) an allocation of functions that fits the expertise of the work unit or individual position.

Personnel. A measure of the degree to which an organization optimizes the relationship between the knowledge, skills, and attitudes (KSAs) of its human resources and the functions they are assigned to perform. This includes: (a) the ability to attract and retain individuals with appropriate KSAs, (b) promoting individual initiative, creativity, and the application of KSAs, (c) having mechanisms to evaluate and provide feedback on performance, and (d) providing the opportunity for individuals to improve existing KSAs and/or develop new ones.

Organizational culture. A measure of the degree to which an organization's human resources understand and are committed to its values, mission, history, strategies, activities, and other characteristics that make it unique. When the human resources of an organization think, feel, and act based on this common set of assumptions, it creates an environment conducive to stability, high morale, and productivity.

Diversity. A measure of the degree to which an organization's human resources reflect or know how to relate to its constituency's composition in terms of gender, ethnicity, class, religion, and other social and cultural factors. As with organizational culture, the value of diversity is that of a shared set of assumptions that actively contribute to the effectiveness of an organization.

Human resource administration. A measure of the degree to which an organization has an appropriate, standard, and adhered-to framework within which its human resources function. Among others, this can include policies and procedures relating to recruitment, contractual terms and conditions of employment, compensation, work standards, grievance, and termination.

C. Elements of Management

Management:	The degree to which the structures and mechanisms necessary to coordinate activities and facilitate processes within an organization are appropriate and consonant with the achievement of its mission.

Governance. A measure of the degree to which an organization has an effective body that provides leadership and overall direction for the organization, as well as independent oversight of its senior management.

Planning. A measure of the degree to which an organization has appropriate procedures for determining the long-term strategies it will follow to achieve its mission, and the ability to translate those strategies into measurable objectives and activities for a specified period of time. Good planning requires: (a) the ability to objectively review the outcomes of previous planning, (b) an assessment of resource availability, (c) awareness of environmental factors impacting the organization, and (d) the systematic involvement of a broad range of stakeholders, including an organization's constituency.

Administration. A measure of the degree to which an organization has the physical infrastructure and systems necessary to support its operations. These may include facilities, equipment, materials, record keeping, internal communications, and logistics.

Information systems. A measure of an organization's ability to collect and analyze relevant data and integrate the resulting information into its planning, operational decision-making, and external relations.

Continuous improvement. A measure of the degree to which an organization makes deliberate efforts to regularly review and, if necessary, modify its practices and systems in accordance with the changing plans and priorities of the organization.

D. Elements of Finance

Finance:	The degree to which an organization obtains the material support necessary to conduct operations, and its ability to use that support in a manner that is efficient, cost-effective, consistent with applicable regulations, and that protects the interests and assets of the organization.

Budgeting. A measure of an organization's ability to regularly create and use reasonably accurate plans for future financial activity. Good budgeting requires the capacity to: (a) project and allocate expenses based on analysis of historical trends, (b) set income targets based on realistic expectations of support, (c) integrate financial planning and analysis into programmatic activity, and vice versa, and (d) monitor budgets to control costs and prevent expenditures in excess of budgeted amounts.

Fundraising. A measure of the degree to which an organization's material resources meet or exceed its operational requirements over the long term. An important aspect of good fundraising is the ability to establish and maintain a diverse resource base, including in-kind contributions from the community/constituency and the use of fee-for-service or other cost-recovery mechanisms.

Procurement and asset management. A measure of the degree to which an organization has an appropriate means for (a) the requisitioning, authorization, and purchase of products and services, and (b) the management of those assets in a manner that is appropriate, adequately documented, and that minimizes the risk of abuse.

Accounting. A measure of the degree to which an organization has an appropriate, standard, and adhered-to system to document and account for financial transactions and monitor and report on its financial status. This often includes a standard chart of accounts, policies on the segregation of duties and approval authority, and mechanisms for cash disbursements, maintaining ledgers and bank accounts, and for meeting payroll and petty cash needs.

Compliance. A measure of an organization's ability to provide reasonable assurances that its operations are in accordance with applicable laws, regulations, and guidelines promulgated by governments, donors, or other regulatory authorities having jurisdiction over such matters. This may include the legal status of the organization, compliance with local labor standards, an adequate internal control environment, and the conduct of an external financial review (i.e., audit).

E. Elements of External Relations

External Relations:	The degree to which interaction between an organization and external clients and partners, in the context in which it carries out its activities, ensures that an organization is noting and responding appropriately to the social, political, economic, and other forces around it.

Community/constituency relations. A measure of the degree to which the individuals an organization serves actively support its activities. This is a function of: (a) the organization's physical and emotional proximity and accessibility to its community/constituency, (b) the perception by the community/constituency that it is appropriately involved in an organization's activities, and (c) an organization's marketing and outreach efforts to build awareness about its activities within the community/constituency.

Government relations. A measure of the degree to which relevant government officials and agencies are aware of, take into account, and support an organization's activities, and the extent to which an organization integrates those activities into the broader regional or national plans for their technical sector or geographic location.

Networking and coordination. A measure of the degree to which an organization establishes collaborative relationships with other organizations in order to exchange information, pool resources, replicate best practices, build strategies, benchmark, or any other reason consistent with the achievement of its mission.

Media relations. A measure of an organization's ability to access and use the mass media to support its activities. This can include the dissemination of information to build public awareness about an organization, social marketing campaigns designed to change behavior, advocacy, or fundraising.

Advocacy. A measure of the degree to which an organization makes deliberate efforts to influence the people who make policy and other decisions affecting the organization's constituency, be they government officials or other individuals with such authority. Advocacy is frequently about the creation or reform of policies, but can also address effective implementation and enforcement of existing policies.

SECTION IV

Assessment Procedures

SECTION IV

Assessment Procedures

Tamkeen conducts needs assessments as part of the broader organizational development efforts it supports in partnership with CSOs. As such, it is important to note the activities carried out before the actual needs assessment is done.

The first step is to establish a relationship with the CSO and hold informal discussions to introduce Tamkeen's approach, gauge CSO interest (if any), and talk in general terms about perceived needs. Based on established selection criteria, the Tamkeen staff person cognizant for the CSO then makes a recommendation on whether to proceed. His/her recommendation is considered by an internal Tamkeen review committee.

If the review committee agrees to proceed, a formal presentation is made to the CSO (see Annex A). The purpose of the presentation is to ensure that the CSO understands the requirements and implications of organizational development. Specifically, it is a means to communicate to the CSO that Tamkeen expects a high level of participation and a sustained commitment to the process. Tamkeen has no desire or intention to force OD activities upon a CSO.

If the CSO is genuinely interested, a formal Organizational Needs Assessment Memorandum of Understanding (MOU) is concluded and signed between Tamkeen and the CSO (see Annex B).

A. PONAT Structure

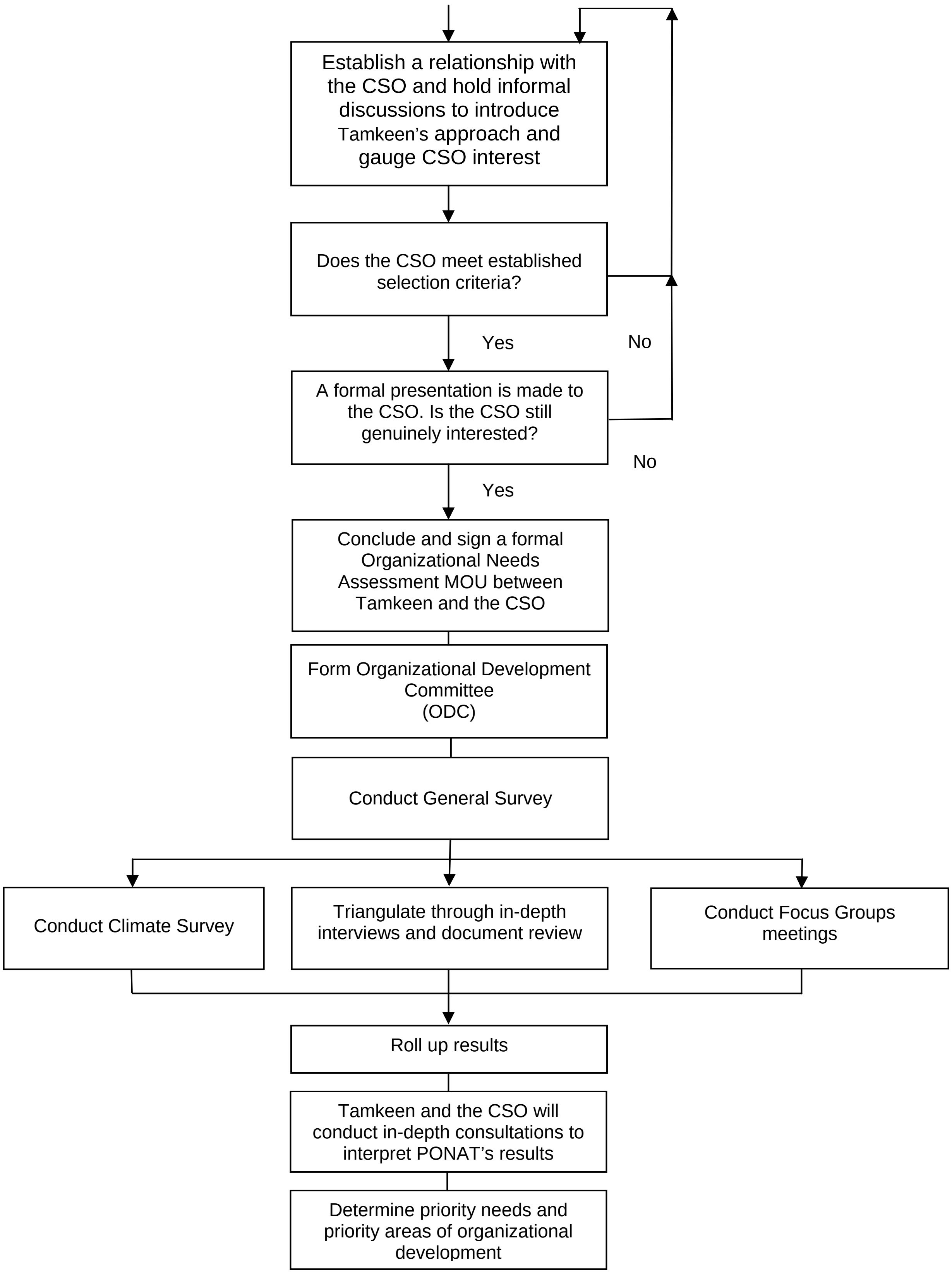
PONAT consists of three modules, namely: (a) a general survey, (b) a climate survey, and (c) focus groups. The general survey targets the institutional capacity as seen by the organization's senior management. The climate survey represents the viewpoint of the organization's staff. Finally, the focus groups capture the views of the beneficiaries.

PONAT may be applied in its entirety or on a modular basis. Ideally, the three modules need to be used as an integrated package if a comprehensive institutional capacity assessment exercise is needed. In this case, each of the three modules would highlight the organizational capacity from a different viewpoint.

Alternatively, each of the three modules may be viewed as a stand-alone tool. The choice of module depends on particular needs and priorities, as well available resources. If the organizational climate is our focus, then the climate survey may be used independent of the other two tools. Similarly, if beneficiary satisfaction with the services of the organization is what we seek to measure, then focus groups would represent a viable tool. Finally, if the intrinsic organizational capacity is what we are after, then the general survey would be the appropriate tool.

Exhibit IV-1 below illustrates the PONAT assessment process.

Exhibit IV-1. PONAT Assessment Process



Following is a brief description of each of the three modules.

General survey. The general survey is the first module of PONAT. It aims to gain a broad understanding of the organization and serves as a diagnostic instrument to help determine the organization's capacity in five areas, namely:

- Program delivery
- Human resources
- Management
- Finance
- External relations

It consists of a closed form structured interview with the Organizational Development Committee (ODC) of the organization using a standardized questionnaire. The interview takes anywhere between 2 to 4 hours. Typically, the survey is conducted by an external capacity-building consultant. The interview results are triangulated through a variety of means in order to get the most accurate and reliable data on the organization's institutional capacity. The triangulation process, together with the scoring and data analysis process, is also done by the external consultant. The total level of effort involved in implementing the general survey, triangulating it, and analyzing and reporting the results is estimated at 24 person-hours.

Climate survey. The climate survey aims to identify the perceptions, attitudes, and opinions of the organization's staff on various aspects of the organization's internal systems and procedures and prevalent organizational culture. This includes all elements of management and human resources. The climate survey involves the organization's staff, board, and volunteers, and is based on a questionnaire containing 55 questions. Answers are rated on an ordinal scale ranging from 0 to 4. The questionnaire is distributed to all the organization's staff, board members, and volunteers, who are asked to return it by hand or mail in closed envelopes to the external capacity-building consultant within one week from receiving it. If anyone has a question or inquiry regarding the questionnaire, they can refer to the external consultant for elaboration or explanation. The total level of effort involved in implementing the climate survey, and analyzing and reporting the results is estimated at 12 person-hours.

Focus group meetings. The focus group aims at exploring the perceptions and attitudes of a representative group of the CSO's constituency regarding the CSO's products and services on one hand, and the way it relates to them on the other. Focus group results will be used as a means of triangulating the general survey results in general, and the program delivery and external relations in particular. The number of focus group meetings to be held depends on the number of projects, the number of beneficiaries, and their geographic spread. Generally speaking, two focus groups may be adequate.

A moderator and a facilitator should administer each focus group. The two persons are expected to have sufficient experience in focus group moderation. The total level of effort involved in conducting a focus group meeting, and analyzing and reporting its findings is estimated at 20 hours.

B. Formation of the Organizational Development Committee

As postulated in the PONAT agreement, the CSO will form an Organizational Development Committee (ODC) in accordance with the following guidelines:

- The ODC consists of the director, the program officer or a person of similar standing, the finance manager or a person of equal standing, and a representative of the board nominated by the chairman of the board.

- The ODC will be enacted by a decree of the Board of Directors. A formal letter with such intent will be sent to Tamkeen.

After its enactment, the ODC will nominate a coordinator.

The mandate of the ODC includes the following:

- Act as the official source of information for the general survey
- Prepare a glossary of organizational documents (see Annex D) and make them accessible for review by the assessment team as deemed necessary
- Fill out the vital statistics matrix (see Annex E) and the staff qualifications form (see Annex F)
- Facilitate all follow-up activities within the assessment process, as deemed necessary
- Provide the assessment team with the logistical support it needs to perform its functions in a proper and timely manner

C. PONAT General Survey

Orientation meeting. Following the enacting of the ODC, the PONAT general survey will be conducted. For this purpose, Tamkeen and the CSO will hold a special orientation meeting. The meeting agenda will include:

- Introduction of the Tamkeen needs assessment team
- Introduction of the CSO’s ODC by the CSO director
- Presentation of survey objectives, scoring system, and triangulation methods
- Presentation of the CSO by its director, highlighting:
  - Mission and developmental role
  - Major products and service areas
  - Organizational structure
  - Organizations’ stakeholders: funders, target group of beneficiaries, board, community and citizen’s groups
  - Main challenges
- Reaching an agreement on procedural matters and next steps

Interview with the ODC. The general survey consists of a closed form interview with the ODC of the target CSO. The interview uses the standard PONAT questionnaire. The questionnaire consists of 100 yes/no questions directed to the CSO’s ODC. Members of the ODC are expected to give one answer that best reflects or describes the variable to be measured by the question. If there are disagreements among the committee members on a particular question, a discussion takes place in order to reach a consensus. If ODC members are unable to provide an answer, a "No Answer" note will be recorded in the remarks box. If the ODC provides an answer but its members fail to reach consensus on that particular question, a note reading "low consensus" will be recorded in the remarks box (see Annex C, "General Survey Questionnaire").

Interview tips. Effective interviews should follow these guidelines:

- Make every effort to create an environment in which participants:
  - Know what to expect and what is expected of them
  - Emphasize that the PONAT general survey session is a good investment of their time and energy
  - Develop trust in the facilitator and the other participants
  - Have confidence in the process

- Start by posing the first question. Be ready to wait for the first response and be patient. It often takes time for the first person to organize a thought and decide to express it. Once the first person speaks up, others will generally follow without delay. When comments begin, treat each one with respect.

- Listen carefully to each comment. It is very important that you don't evaluate comments either positively or negatively. Rather, you should acknowledge them supportively, but neutrally.

- Plan on spending anywhere from 1-2 minutes on each question.

- Remind participants of next steps and thank them for their participation.

C1. General Survey Triangulation

Triangulation purpose. The general survey is based on a binary yes/no scale. The purpose of the triangulation process is to identify sufficient objectively verifiable evidence that would validate the "yes" answers of the general survey. In seeking such evidence, Tamkeen will use a variety of triangulation techniques, including document review, observation, and in-depth interviews. The Triangulation Matrix (see Annex G) includes an explicit classification of the general survey questions and their triangulation technique. In responding to general survey questions, the ODC will give the organization's formal position vis-à-vis matters of organizational capacity. It is fair to assume that if the ODC gives an affirmative answer to a question, it should be responsible for producing adequate evidence to support its answer. This may be in the form of a document, a transaction, or a direct observation. The Triangulation Matrix includes a glossary of suggested documents that may be used for triangulation purposes. This glossary should be viewed as suggestions. The ODC should feel free to produce other relevant documentation that would help substantiate the "yes" answer

Triangulation results. The review of a given document or set of documents to validate the "yes" answer to a given question may yield two results. If upon the completion of the review, sufficient evidence is identified to support the "yes" answer, the score of the particular indicator in the scoring sheet will remain one. If no such evidence is identified, or evidence is identified to the contrary, then Tamkeen will double-check with the ODC to make sure there is no missing documentation. If the result of the verification process is negative, then a score of zero will be inserted in the adjusted score column of the scoring sheet.

Triangulation techniques. Triangulation techniques include the following:

- Document review: Consistent with the provisions of the MOU, the ODC will be requested to compile a number of documents that would be used in the verification of relevant indicators. For example, if a "yes" answer is given to the question: "Does the organization collect baseline information prior to project implementation?," then sample baseline studies will be reviewed. The purpose of such a review is not content evaluation. Rather, it is to identify sufficient objectively verifiable evidence of the validity of the "yes" answers. General survey questions that are verifiable through document review and corresponding documents are explicitly identified in the "Glossary of Organizational Documents." In addition, relevant documents have been suggested for such review.

- In-depth interview: Following the completion of the document review exercise, Tamkeen will organize two in-depth interviews with the chairman of the board and the program officer or a staff member with a similar position. The results of the two interviews will be used to triangulate the general survey questions, as detailed in PONAT Triangulation Matrix. The coordinator of the CSO's ODC will facilitate the organization of such meetings. Though it is difficult to *a priori* adopt a questioning route, following are suggested models. Naturally, Tamkeen will fine-tune the questions in a dynamic and interactive manner depending on the sort of answers provided by the interviewees.

In-Depth Interview Suggested Questioning Routes
Questioning Route: Chairman of the Board
• Does the board play its role of leadership and oversight satisfactorily? • What are the main impediments to the board's functions? • What are the most outstanding problems that warrant prompt intervention in each of the five components? • What is the organization's main strength and most promising potential, most important comparative advantages, most important challenges?
Questioning Route: Program Officer
• Does the organization possess the necessary internal technical competencies (knowledge, skills, and attitudes) in its main service areas? • Does the organization have documented technical procedures and practices in its main service areas? • Does the organization have in-house quality assurance systems? • Is the organization able to acquire additional technical knowledge and expertise if needed? • Does the organization effectively employ its technical skills in its main services?

• Does the organization have operational direction to ensure that its services are responsive to constituent needs? • Does the organization have plans for enabling its constituency to assume management responsibilities in its service delivery? • Has the organization developed systems for the continuation of its program in the medium and long term? • Does the organization have programmatic phasing-out strategies?
• Does the organization have an advocacy strategy in its main program areas? • Does the organization work with other organizations on advocacy issues? • Has the organization developed adequate in-house skills and resources to carry out advocacy campaigns?

- Direct observation: There is a limited number of questions that may be triangulated through direct observation. This technique hinges on observation collected by Tamkeen during the implementation of PONAT and the visits to the CSO's offices. For example, adequacy of office space may be triangulated through direct observations collected during such visits.

C2. General Survey Scoring System

PONAT's general survey questionnaire consists of five main components, each of which is measured through five indicators. Each indicator in turn is measured through a number of variables. The variables are simply the questions, which fall under the given indicator. The number of variables varies by indicator (see Annex H, "Scoring Sheet").

Weights. Weighting is based on two main assumptions:

- All five components are given equal weights. This is consistent with the design considerations that allow for internal comparisons, comparisons over time, comparisons with a model, and comparisons with other organizations. In addition, individual scores of the various components will be used to determine priority needs and hence priority areas of organizational development. In this context, a "total" score will not carry much significance.
- For each component, indicators are assigned weights that reflect their relative significance with respect to the other four indicators.

Scoring of indicators. Indicators are scored as follows:

- The *indicator score* is obtained by adding the scores of the various questions, which fall under the given indicator in the general survey questionnaire.
- The *adjusted indicator score* is obtained by adding up the scores of the triangulated questions, which fall under the given indicator in the general survey questionnaire.
- The *normalized adjusted indicator* score is obtained by multiplying the indicator score by 10, and then dividing by the indicator weight.

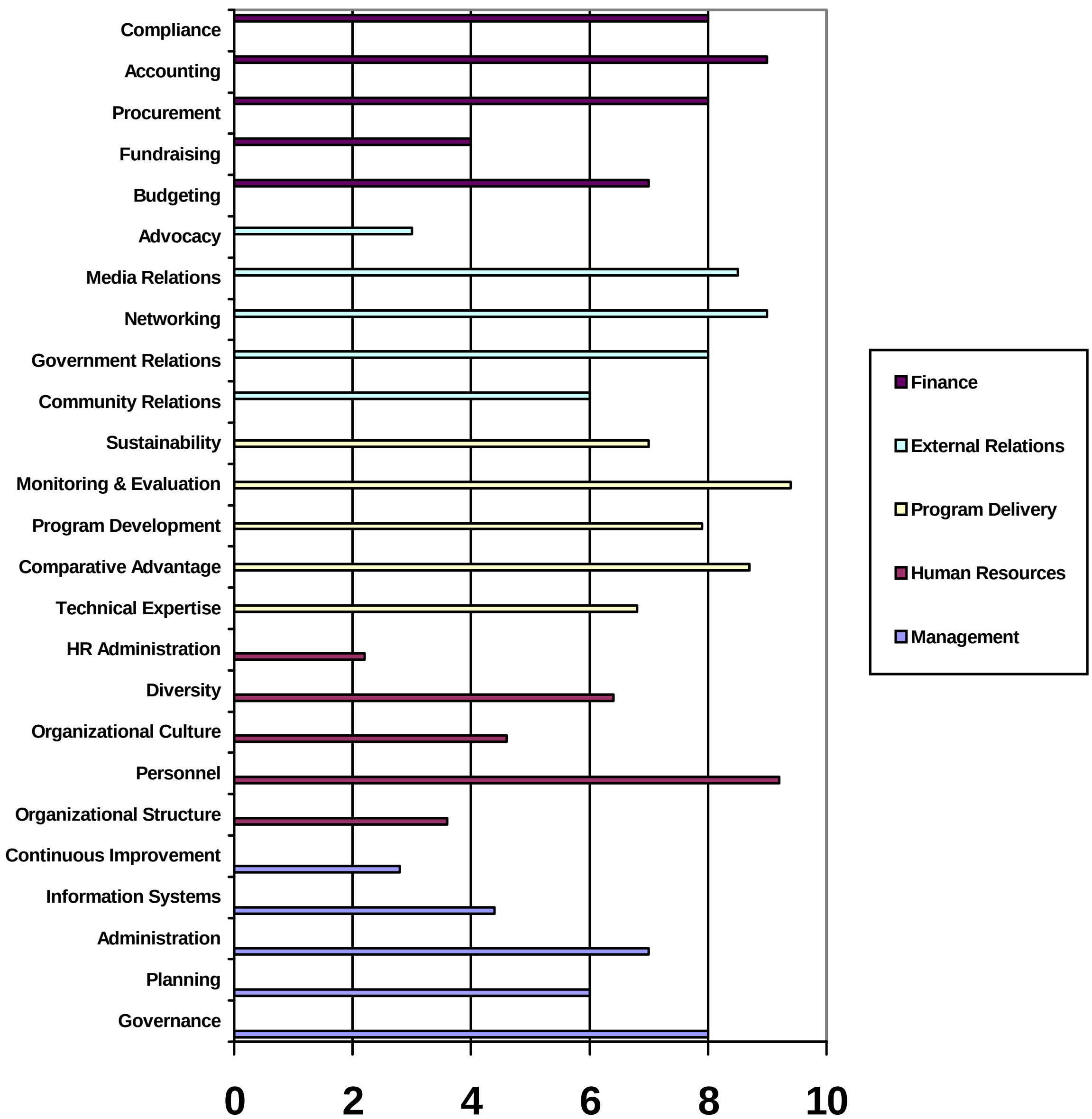
Scoring of components. Components are scored as follows:

- The *component score* is obtained by adding up the scores of the five indicators, which fall under the given component.

- The *adjusted component score* is obtained by adding up the adjusted scores of the five indicators, which fall under the given component.
- The *normalized adjusted component score* is obtained by dividing the adjusted component score by 2.

Total score. To obtain the overall score of the organization, we add up the *adjusted component scores* of the five components. The resulting score will be a grade out of a 100. This score may be useful in monitoring the overall organizational development of the CSO over time. Results can be represented graphically, as illustrated in Exhibit IV-2 below.

Exhibit IV-2. General Survey Results



D. Climate Survey

Objectives. The climate survey aims to identify the perceptions, attitudes, and opinions of the organization's staff on various aspects of the organization's internal systems and procedures and the prevalent organizational culture. The survey is anonymous and participants are expected to answer the survey questions with objectivity and candidness. No individual responses will be identified. Alternatively, we will be looking for trends and statistical indicators. All participants are assured that their responses will remain absolutely confidential and will be the sole ownership of Tamkeen.

Survey questionnaire. The climate survey is based on a closed form interview with all staff, board members, and volunteers of the CSO (see Annex I). The questionnaire consists of 55 questions covering the human resources and management components. In addition, the questionnaire contains some demographic information needed to analyze the results of the survey and to develop plans on how to improve the climate of the organization. Background variables include position of the interviewee (board member, staff, volunteer, other), gender, and age group. The climate survey questionnaire should be filled out on the basis of the following ordinal scale:

- Circle 0 for a "strongly disagree" response
- Circle 1 for a "disagree" response
- Circle 2 for a "neutral" response
- Circle 3 for an "agree" response
- Circle 4 for a "strongly agree" response

Obviously, in some cases the interviewee may be hesitant to answer a question because his response to the question is based on an impression, perception, or a feeling rather than first-hand concrete information. Nonetheless, interviewees should be encouraged to go ahead and respond to the questions, because in this kind of survey, impressions and feelings are what is being measured. In cases where the respondent has no real opinion on the matter being questioned, an "I don't know" answer is the right choice. If a respondent feels that a matter important to the organizational climate has been overlooked, he/she is requested to add comments on the "Comments" sheet of the questionnaire. The comments should not include any personal or confidential information.

D1. Climate Survey Scoring System

The scoring system of the climate survey (see Annex J) will resemble that of the general survey, as described below.

Weights. The climate survey questionnaire consists of 55 questions covering the various indicators of the human resources and management components. The weighting of the various indicators and components is illustrated in the following table:

Component	Indicator	Weight
Management	Governance Planning Administration Information System Continuous Improvement	5 3 8 3 1 20
Human Resources	Organizational Structure Personnel Organizational Culture Diversity Human Resource Administration	5 7 10 2 11 35

Indicator scores. Responses to each question are given a score ranging from 0 to 4. Following is a step-by-step procedure for calculating the indicator score.

- For each question under the given indicator, add up the scores given to it by all respondents.
- Divide the resulting sum by the number of respondents to obtain the question average score.
- Add up the average question scores for all questions under the given indicator
- Divide the resulting sum of average question scores by the number of questions to obtain the indicator score. The resulting score will be a number ranging from 0 to 4.

For example, if we have two respondents who gave the following scores to the questions under the Information Systems Indicators:

Respondent 1: scores of 0, 4, and 3 to the three questions, respectively
Respondent 2: scores of 1, 3, and 4 for the three questions respectively.

The score of the Information Systems indicator is calculated as follows:

Question 1 average score is: 0 + 1 divided by 2, which gives 0.5
Question 2 average score is: 4 + 3 divided by 2, which is 3.5
Question 3 average score is: 3 + 4 divided by 2, which is 3.5
Sum of question average scores is 0.5 + 3.5 + 3.5 = 7.5

The Information System indicator score is 7.5 divided by the number of questions, which is 3. The resulting score is 2.5

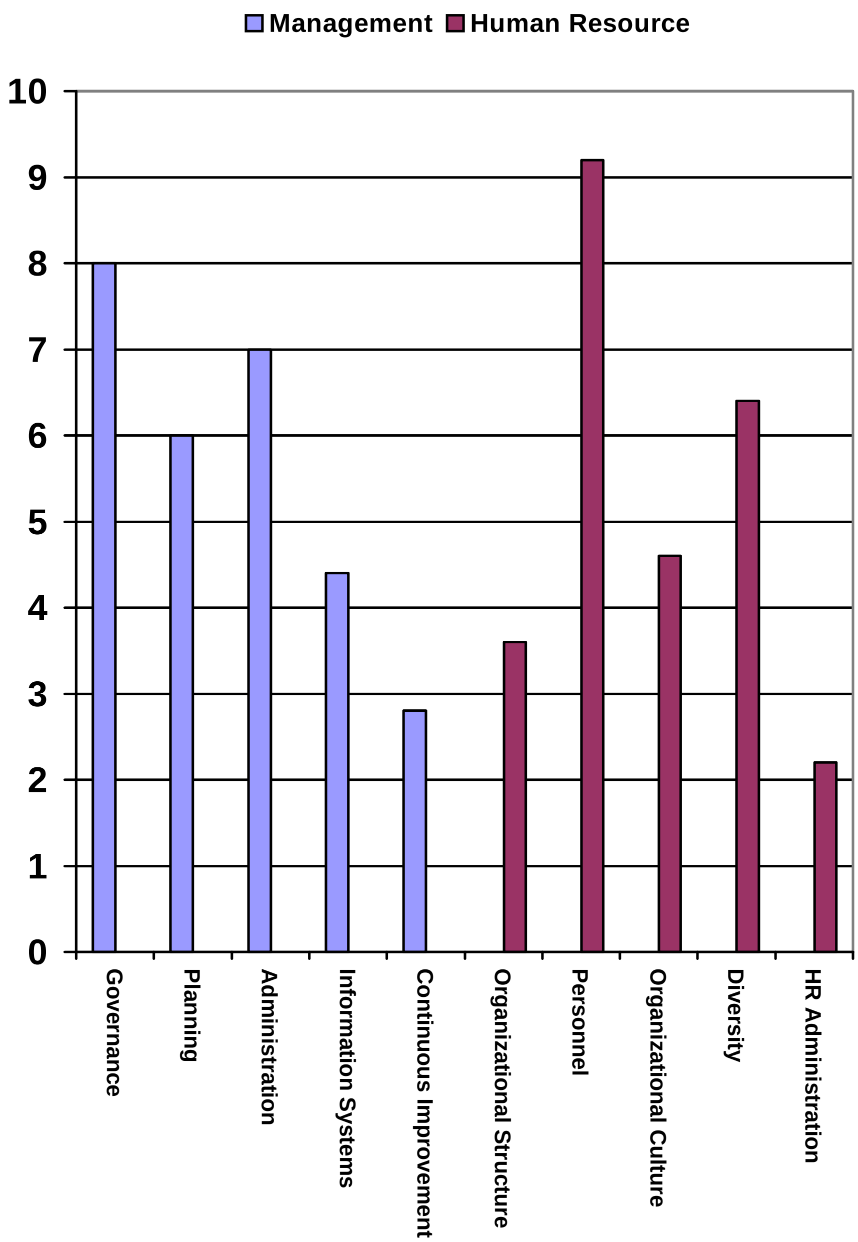
Component scores. The scores of each of the two components is the weighted average of its indicator scores:

- Management score: To calculate the Management component score, we look at the five indicator scores under Management, which are M1, M2, M3, M4, and M5, whose weights are 5, 3, 8, 3, and 1, respectively. The management component score is then calculated as follows: 5*M1 + 3*M2 + 8*M3 + 3*M4 + 1*M5 divided by 20.

- Human resources score: To calculate the Human Resources component score, we look at the five indicator scores under Human Resources, which are H1, H2, H3, H4, and H5, whose weights are 1, 5, 7, 10, 2, and 11, respectively. The Human Resources component score is calculated as follows: 5*H1 + 7*H2 + 10*H3 + 2*H4 +11*H5 divided by 35.

Climate survey results can be presented graphically, as illustrated in the exhibit below.

Exhibit IV-3. Climate Survey Results



E. Focus Group Meetings

Objective. The focus group aims to explore the perceptions and attitudes of a representative group of the CSO's constituency regarding the CSO's products and services on one hand, and the way it relates to them on the other. The focus group results will be used as a means of triangulating the general survey results in general, and the program delivery and external relations in particular. The number of focus group meetings to be held depends on the number of projects, the number of beneficiaries, and their geographic spread (see Annex K).

Participants. Participants in the focus group will include the following:

- Approximately 14 beneficiaries from the programs implemented during the previous year, chosen randomly by the external consultant
- Two persons who have interest in and familiarity with the CSO's services. It is recommended that one of them be a representative of a government agency whose work is closely linked to that of the CSO. The second may be chosen from the academic community or another CSO with a related function. The external consultant, in consultation with the OD committee, will choose both persons.
- Members of the OD committee may attend the meeting as observers

Facilitators. Two external consultants will moderate the focus group.

Agenda. The meeting agenda will include the following issues:

- A five-minute introduction by Tamkeen. This will include a brief narrative of Tamkeen's capacity-building approach, PONAT, and the purpose of the focus group meeting, as stated previously.
- A five-minute introduction of focus group participants
- A five-minute introduction of the main issues to be discussed and the moderation modality
- A 60-minute substantive discussion of the "constituency participation" section
- A 10-minute break
- A 60-minute substantive discussion of the " beneficiary satisfaction" section
- A 10-minute break
- A 30-minute discussion of the "recommendations and suggested actions"
- A 20-minute wrap-up

Focus group results. After the focus group meetings are concluded, the focus group moderator will use the data collected from the beneficiaries to assign each of the five indicators of program delivery as well as the "community relations" indicator of external relations with a beneficiary satisfaction status (see Annex L).

Focus group report. The focus group report will document various components of the focus group activity. In particular, the report will consist of the following:

- Cover page: The front cover should include the title “A Focus Group Report on Beneficiary Assessment of Services of CSO,” followed by the name of the CSO, as well as the names of moderators and the date the report is submitted.

- Summary: A brief, well-written summary describing the purpose of the focus group, major conclusions, and recommendations.

- Table of contents: This section is optional and need not be included when the report is brief.

- Results: Most often, results are organized around key questions or major ideas in the focus group interview. The results can be presented by using raw data and descriptive summaries, or by using the interpretive approach.

- Limitations and alternative explanations: This section can be placed within the results category if it is brief. Limitations refer to those aspects of the study that limit the transfer of findings and the use of procedures that prevent conclusive statements about the programs.

- Conclusions and recommendations: The conclusions pull together the findings into clear summary statements. Recommendations are optional.

- Appendix: The final section of the report is the appendix, which includes additional materials that might be helpful to the reader, such as the questioning route and the screening questionnaire, as well as a profile of focus group participants.

SECTION V

Data Analysis and Rolling Up

SECTION V

Data Analysis and Rolling Up

In order to reach a deep and accurate understanding of the organizational capacity-building needs and their respective priorities, PONAT utilizes three parallel tools for data collection, namely: the general survey, the climate survey, and the focus group meetings. In earlier sections, a detailed description of how each tool should be utilized was provided. In this section, we will describe how data collected from the three tools will be analyzed and integrated.

A. Data Analysis

General survey. The results of the general survey will be tabulated according to the General Survey Scoring Sheet. In this sheet, each of the five organizational capacity components and their corresponding 25 indicators is given a score, an adjusted score, and a normalized adjusted score. The normalized adjusted scores are all out of 10. In order to interpret the indicator and component scores, we divide the span of the indicator score into three sub-intervals, namely 0-5, 5-8, and 8-10.

Each of the above intervals corresponds to an indicator organizational capacity status. In particular, if the normalized indicator score lies in the interval 0-5, then we give it a “needs significant improvement” status, and if the indicator score lies in the interval 5-8, we give it a “needs some improvement” status. Finally, if the indicator score lies in the interval 8-10, we give it an “adequate” status (see Annex H).

Climate survey. The final results of the climate survey will be tabulated in the form of average scores and normalized average scores for all indicators under Management and Human Resources. In order to interpret the indicator and component scores, we divide the span of the indicator score into three subintervals, namely 0-5, 5-8, and 8-10.

Each of the above intervals corresponds to an indicator satisfaction status. In particular, if the normalized indicator score lies in the interval 0-5, then we give it a “poor satisfaction” status, and if the indicator score lies in the interval 5-8, we give it a “reasonable satisfaction” status. Finally, if the indicator score lies in the interval 8-10, we give it an “adequate satisfaction” status (see Annex J).

Focus group meetings. The results of the focus group meetings will be documented in the form of a report. The report will include a special “Conclusions and Recommendations” section. In this section, the five indicators under program delivery, as well as the first three indicators of external relations, will be rated as follows: “poor satisfaction,” “reasonable satisfaction,” and “adequate satisfaction.”

B. Rolling up and Ranking

Rolling up. The final results of the three tools will be tabulated in a special Integrated Score Sheet (see Annex L). This sheet includes the final normalized scores of all 25 organizational capacity indicators. It will also include the climate survey normalized indicators scores for all indicators under Management and Human Resources. In addition, it will include the organizational capacity status and the organizational satisfaction status of relevant indicators. The focus group results on stakeholder satisfaction with the five indicators of program delivery and the first three indicators of external relations will be also recorded on the Integrated Score Sheet.

After the completion of the integrated score sheet, the indicators' score and status will be studied. Comparisons between the general survey and the climate survey scores of the Management and Human Resources indicators will be made in order to identify discrepancies between capacity and satisfaction.

The sub-group of indicators, which constitute priority areas of organizational capacity building, will include all indicators whose scores fall within any of the following categories:

- General survey indicators score less 5
- Climate survey indicators score less than 5
- The sum of the general survey and the climate survey indicator scores less than 15
- The focus group rating of the indicator is "poor satisfaction"
- The general survey rating and the focus group rating of the indicator are both reasonable

Ranking. The indicators that have been identified as priority areas of intervention are then isolated and marked in the Integrated Score Sheet (see Annex L). The results will be presented for an in-depth discussion between Tamkeen and the CSO's ODC. The purpose of the discussion is to reach a consensus on the respective ranks of the priority organizational development areas. The final shortlist of organizational capacity indicators that constitute priority areas of intervention and their respective ranks will be written up in a special summary report on "Organizational Development Needs."

SECTION VI

Reporting and Follow-Up

SECTION VI

Reporting and Follow-Up

At this stage, Tamkeen and the CSO will conduct in-depth consultations to interpret PONAT's results. The determination of priority needs and priority areas of organizational development will take into consideration:

- The respective ranks of the 25 organizational capacity indicators, since each rank reflects the adequacy and/or the satisfaction level of the given indicator

- The organization's type. This essentially allows the organization to give more weight to a certain capacity area in light of the nature of its services. For example, if the two areas of "external relations" and "program delivery" are ranked "needs substantial improvement," then for an advocacy CSO "external relations" would have priority over "program delivery." The opposite would be true for a CSO whose main niche is training.

- The organization's own perceptions of and commitment to organizational development

- Tamkeen's available resources

ANNEX A

PONAT Presentation

PONAT

Tamkeen's

Participatory Organizational Needs Assessment Tool

What is PONAT? (1)

- A diagnostic tool to help assess a CSO's capacity in five areas
- The assessment results provide a baseline and overall frame of reference for planning, implementing, and evaluating specific changes needed to strengthen a CSO

What is PONAT? (2)

The needs assessment tool itself is a means to:

- Interact with CSO stakeholders on the attributes of an effective organization
- Create a strong commitment to improvement
- Build consensus around future priorities

PONAT's Design Considerations (1)

- Is based on the idea of a "model" organization. It reflects the fact that there are certain characteristics, or *best practices*, common to most healthy organizations
- PONAT's objective is to strengthen an organization as a whole, not just a particular component or function. For that reason, the assessment tool is designed to be used in its entirety.

PONAT's Design Considerations (2)

- The design of PONAT emphasizes the following:
  - Internal comparisons
  - Comparisons over time
  - Comparisons with the "model"
  - Comparisons between organizations

PONAT's Design Considerations (3)

- Does not incorporate a hierarchical system that categorize an organization into a particular stage of organizational development
- Is designed to be used with organizations that are fully committed to the process of organizational change and development

PONAT's Design Considerations (4)

In designing the tool, Tamkeen took into account three significant methodological considerations:

- Objectivity
- Reliability
- Practicality

How Does PONAT Work?

- PONAT Agreement
- Orientation Meeting
- General Survey
- Follow-Up Visits & Documents Review
- Climate Survey
- Focus Groups

What does PONAT measure?

The five components / functions of an organization measured by PONAT are:

- Program delivery
- Human resources
- Management
- Finance
- External relations

Components & Elements (Program Delivery)

Elements:

- Technical Expertise
- Comparative Advantage
- Program Development
- Monitoring and Evaluation
- Sustainability

Components & Elements (Human Resources)

Elements:

- Organizational Structure
- Personnel
- Organizational Culture
- Diversity
- HR Administration

Components & Elements (Management)

Elements:

- Governance
- Planning
- Administration
- Information Systems
- Continuous Improvement

Components & Elements (Finance)

Elements:

- Budgeting
- Fundraising
- Procurement & Asset Management
- Accounting
- Compliance

Components & Elements (External Relations)

Elements:

- Community / Constituency Relations
- Government Relations
- Networking & Coordination
- Media Relations
- Advocacy

PONAT Agreement Roles & Responsibilities - Tamkeen

- Form a special organizational needs assessment team
- Bear all direct and indirect cost of the assessment exercise, except for the cost of the effort expended by the organization's staff
- Use the findings of the assessment exercise as basis for determining priorities of its capacity-building interventions

PONAT Agreement Roles & Responsibilities - Tamkeen

- Maintain confidentiality of all quantitative and qualitative information on the organization which was made accessible to the assessment team or any of Tamkeen's staff
- The results of the assessment exercise will have no bearing on the organization's ability to benefit from Tamkeen's grants

PONAT Agreement
Roles & Responsibilities - CSO

- Form an organizational development committee consisting of: the director, the finance manager, the chief technical officer, and chairman of the board
- Provide the assessment team with the logistical support it needs to perform its functions in a proper and timely manner
- Bear the cost of the time that staff need to dedicate in the context of the exercise

PONAT Agreement
Roles & Responsibilities - CSO

- Provide the assessment team with the client information needed in order to organize the beneficiary focus group meeting
- Organize a special stakeholders' meeting in which findings of the exercise are presented and discussed. Participants may include: board of directors, staff, selected community stakeholders and the assessment team, which will present the findings

ANNEX B

PONAT Memorandum of Understanding

ANNEX B

PONAT Memorandum of Understanding

Between Tamkeen and [Name of Organization]

In the context of the capacity-building component of Tamkeen, the two parties have agreed to jointly undertake an organizational needs assessment exercise for [Organization's Name]. The exercise will be essentially based on the Participatory Organizational Needs Assessment Tool (PONAT) developed by Tamkeen. The roles and responsibilities of each of the two parties are outlined as follows:

1. Tamkeen will:

    a. Form a special assessment team consisting of: a civil society expert, Tamkeen's capacity-building specialist, and an external consultant
    b. Bear all direct and indirect cost of the assessment exercise, except for the cost of the effort expended by the organization's staff
    c. Use the findings of the assessment exercise as a basis for determining priorities of its capacity-building interventions
    d. Maintain the confidentiality of all quantitative and qualitative information provided by the organization

2. The organization will:

    a. Form an organizational development committee consisting of: the director, the finance manager, the chief technical officer, and chairman of the board. The ODC's mandate will include the following:
        i. Act as the official source of information for the general survey
        ii. Prepare a glossary of organizational documents and make them accessible for review by the assessment team as deemed necessary
        iii. Fill out the vital statistics and the staff qualifications forms
        iv. Facilitate all follow-up activities within the assessment process as deemed necessary
    b. Provide the assessment team with the logistical support it needs to perform its functions in a proper and timely manner
    c. Bear the cost of the time that staff need to dedicate in the context of the exercise
    d. Provide the assessment team with the client information needed to organize the beneficiary focus group meeting
    e. Organize a special stakeholders' meeting in which findings of the exercise are presented and discussed. Participants may include: board of directors, staff, selected community stakeholders, and the assessment team, which will present the findings.

The two parties are committed to undertake the assessment exercise in the spirit of partnership and mutual trust.

ANNEX C

General Survey Questionnaire

TAMKEEN

General Survey

PONAT

RAMALLAH - PALESTINE

INSTRUCTIONS

This general survey is part of a multifaceted tool composed of a general survey, climate survey, focus group work with beneficiaries, and other components, designed by Tamkeen to measure the capacity of your organization in order to design and implement a comprehensive program to further build its capacity.

Aims and Components

The general survey aims to gain a broad understanding of the organization. The tool serves as a diagnostic instrument to help you determine your organization’s capacity in five areas, namely:

- Program delivery
- Human resources
- Management
- Finance
- External relations

Structure and Filling Instructions

The general survey consists of a closed form structured interview with the Organizational Development Committee (ODC) of your organization using a standardized questionnaire. An external evaluator leads the ODC members through the questions one by one and in an orderly manner.

The questionnaire consists of 100 yes/no questions directed to the ODC. The ODC members are expected to give one answer that best reflects or describes the variable to be measured by the question. If there are disagreements among the committee members on a particular question, a discussion takes place in order to reach consensus. If ODC members are unable to provide an answer, a “no answer” note will be recorded in the Remarks box. If the ODC provides an answer but its members fail to reach consensus on that particular question, a note reading “low consensus” will be recorded in the Remarks box.

The general survey requires one copy of the questionnaire as well as one scoring sheet to be followed and filled by the external evaluator.

The interview takes about 2-4 hours to complete. Plan on spending anywhere from 1-2 minutes on each question.

General Survey Questionnaire

Name of Organization: ____

Names of Organizational Development Team:

1) ____
2) ____
3) ____
4) ____
5) ____

Name of persons conducting the interview/survey:

____

Date of conducting the survey:

____

MANAGEMENT				
Governance				
		Yes	No	Remarks
1	Does the organization have a Board or a similar independent governing body with a well-defined and written mandate?			
2	Does the board provide the organization with: • Oversight and accountability • Policy definition			
3	Does the Board regularly keep business records?			
4	Does the organization have a written mission statement?			
5	Do mechanisms and structures exist for ensuring participatory management by the CSO's top management?			
Planning				
		Yes	No	Remarks
1	Does the organization routinely engage in planning activities concerning its various programs and projects?			
2	Are concerned staff involved in the organization's planning exercises?			
3	Does the planning process benefit from reviews of previous plans?			
4	Does the organization have written implementation plans (annual, semi-annual, etc)?			
5	Are implementation plans updated or adjusted as a result of the monitoring process?			
Administration				
		Yes	No	Remarks
1	Does the organization have adequate office space to properly conduct its main functions?			
2	Does the organization have enough furniture, office equipment, and tools to support its main functions?			
3	Does the organization have enough administrative support services (secretariat work, reception, PC maintenance, cleaning, etc)?			
4	Is there a documented procedure for recording, filing, and intra-office communications?			
Information Systems				
		Yes	No	Remarks
1	Does the organization have adequate and updated information resources (books, magazines, films, CDs, databases, etc) to implement its programs and deliver its services in an appropriate fashion?			
2	Does the organization have a system to manage its information resources?			
3	Does the organization have an in-house capacity (human and systems) to manage its information systems?			
4	Does the organization effectively use relevant available information in its various activities (planning, implementation, evaluation, etc)?			
Continuous Improvement				
		Yes	No	Remarks
1	Does the organization routinely upgrade its technical procedures and practices?			
2	Does the organization review and if necessary modify its administrative procedures?			

PROGRAM DELIVERY				
Technical Expertise				
		Yes	No	Remarks
1	Does the organization possess the necessary internal technical competencies (knowledge, skills, and attitudes) in its main service areas?			
2	Does the organization have documented technical procedures and practices in its main service areas?			
3	Does the organization have in-house quality assurance systems?			
4	Is the organization able to acquire additional technical knowledge and expertise if need arises?			
5	Does the organization effectively employ its technical skills in its main services?			
Comparative Advantage				
		Yes	No	Remarks
1	Does the organization believe that it can consistently deliver its product or services more effectively relative to other organizations?			
Program Development				
		Yes	No	Remarks
1	Does the organization regularly conduct needs assessment exercises?			
2	Are needs assessment exercises participatory?			
3	Are the organization’s programs generally needs-driven?			
4	Does the organization regularly seek feedback from project beneficiaries in its program design?			
Monitoring and Evaluation				
		Yes	No	Remarks
1	Does the organization have an operational and documented project management system?			
2	Does the organization collect baseline information prior to project implementation?			
3	Does the organization develop measurable objectives and clear indicators of the success of its programs?			
4	Does the organization regularly conduct impact assessment exercises?			
5	Does the organization involve project beneficiaries in its monitoring and impact assessment exercises?			
6	Are results of monitoring and evaluation/impact assessment exercises shared with staff?			
Sustainability				
		Yes	No	Remarks
1	Does the organization have operational direction to ensure that its services are responsive to constituency needs?			
2	Does the organization have plans for enabling its constituency to assume management responsibilities in its service delivery?			
3	Has the organization developed systems for the continuation of its program in the medium and long term?			
4	Does the organization have programmatic phasing-out strategies?			

HUMAN RESOURCES				
Organizational Structure				
		Yes	No	Remarks
1	Does the organization have an organizational chart that shows the most significant units and functions of the organization?			
2	Are the lines of authority and communication well defined in writing?			
3	Are there defined mechanisms for coordinating the work of the different functions of the organization?			
4	Are there policies and mechanisms to resolve conflicts between units or colleagues?			
5	Do staff have clearly defined and documented job descriptions?			
Personnel				
		Yes	No	Remarks
1	Are staff members appraised periodically according to transparent performance-based criteria (results discussed with the concerned staff members for example)?			
2	Is there an updated human resources development plan?			
3	Is there a budget allocation for staff training and development?			
4	Does the organization encourage its staff to continuously train and upgrade their knowledge and skills?			
Organizational Culture				
		Yes	No	Remarks
1	Are their operational policies to strengthen the staff's understanding and commitment to the organization's mission and societal role?			
2	Are staff encouraged to actively participate in the design, implementation, and review of the organization's various projects?			
3	Are staff encouraged to ascribe to a particular set of ethical standards, values, beliefs, or practices such as to express their opinion freely, take initiative, teamwork, diligence, minimizing the use of paper, etc?			
4	Is the organization gender-sensitive in its various internal practices?			
Diversity				
		Yes	No	Remarks
1	Does the organization provide equal job opportunities for all qualified candidates?			
2	Do traditionally under-represented stakeholder groups have equitable access to, and equal benefit from, project activities?			
HR Administration				
		Yes	No	Remarks
	Does the organization have documented policies and procedures for:			
1	• Recruitment, contractual terms, and conditions of employment (rights and privileges)			
2	• Compensation and benefits			
3	• Grievances			
4	• Working hours and standards			
5	Do these systems encourage good performance, low turnover, and high staff morale?			

EXTERNAL RELATIONS				
Community/Constituency Relations				
		Yes	No	Remarks
1	Do you believe that there are adequate channels for the community/ constituency to access the organization?			
2	Are the organization's programs actively marketed to its constituency?			
3	Does the organization actively educate and build awareness among its constituency?			
4	Does the organization have adequate materials (books, reports, website, etc) that reflect its mission, goals, objectives, and various activities?			
5	Has the organization been successful in gaining the acceptance and support of its constituency?			
Government Relations				
		Yes	No	Remarks
1	Does the organization generally maintain good working relations with relevant government institutions?			
2	Do relevant government institutions show appreciation for the organization's developmental role?			
3	Are the organization's activities and recommendations integrated into government development plans?			
4	Do relevant government institutions seriously involve the organization in the design or implementation of programs or services?			
Networking and Coordination				
		Yes	No	Remarks
	Does the organization have an operational policy to:			
1	• Build alliances with other members of its cohort?			
2	• Create effective programmatic collaborative linkages with relevant organizations?			
3	• Share resources with other members of the cohort?			
4	• Coordinate its programs with other organizations in order to minimize duplication and maximize complementary work?			
5	Is the organization an active member of a federation/network?			
Media				
		Yes	No	Remarks
1	Does the organization use media (newspapers, radio, TV) effectively to reach its constituency, expose and promote its work, and influence the public and decision makers (advocacy)?			
2	Does the organization attract positive media attention?			
3	Do the media consult the organization on relevant issues?			
Advocacy				
		Yes	No	Remarks
1	Does the organization have an advocacy strategy in its main program areas?			
2	Does the organization work with other organizations on advocacy issues?			
3	Has the organization developed adequate in-house skills and resources to carry out advocacy campaigns?			

FINANCE				
Budgeting				
		Yes	No	Remarks
1	Are financial projections made?			
2	Are financial projections usually accurate?			
3	Do established procedures exist to regularly maintain revenues and expenses in balance?			
4	Are there financial contingency plans?			
Fundraising				
		Yes	No	Remarks
1	Does the organization have an effective fundraising strategy?			
2	Has the organization succeeded in accessing diversified resources to contribute to its activities during the past three years?			
3	Does the organization have the capacity to develop proposals and respond to tenders?			
4	Does the organization have a fee for services and/or other cost-recovery mechanisms built into service delivery where appropriate?			
Procurement				
		Yes	No	Remarks
1	Is there a procurement system in operation?			
2	Are procedures followed to ensure that procurement is effected at competitive prices (multiple bids)?			
3	Are detailed records of capital assets, property, and equipment maintained?			
4	Are physical inventories of property/equipment conducted regularly?			
Accounting				
		Yes	No	Remarks
	Does the organization maintain a policy manual or documented procedures covering:			
1	• General organizational accounting procedures			
2	• Approval authority for financial transactions			
3	• Guidelines for controlling expenditures, such as purchasing requirements and travel			
4	• Payroll and petty cash			
5	Does the organization maintain cash book/check register/cash disbursement journal/general ledger of expenses, etc?			
Compliance				
		Yes	No	Remarks
1	Is the organization registered according to relevant government legislation?			
2	Does the organization conform to standard tax and labor regulations and requirements?			
3	Are there annual financial reports prepared by a registered auditor?			

ANNEX D

Glossary of Organizational Documents

ANNEX D

Glossary of Organizational Documents

Management

Governance

Internal by-laws
Board mandate
Board meeting minutes
Written mission statement
Internal by-laws / Organigram

Planning

Planning system / Sample plans
Planning workshops and activities
Plans
Feedback / Project evaluations / Planning system

Administration

Internal procedures

Information System

MIS

Program Delivery

Technical Expertise

Technical procedures
Administrative procedures

Comparative Advantage

Program Development

Staff qualification matrix / Internal technical practices
Technical procedures / Manual
Quality control procedures
Vital statistics

Monitoring and Evaluation

Project management system / Progress reports
Documented PME system (planning matrix and report formats)
Log-frame matrices / Project plans
Sample impact assessments
Internal technical procedures / Organigram / Internal administrative procedures

Human Resources

Organizational Structure

Staff business records / Sample impact assessment exercises
Needs assessment exercises / Constituency feedback
Medium and long-term plans / Fundraising strategy
Organigram
Internal technical procedures / Organigram / Internal administrative procedures

Personnel

Job descriptions
Staff appraisals / Personnel manual
HRD plan

Organizational Culture

Vital statistics / Staff development policies
Internal systems / Records on staff participation
Appropriate documentation
Mission statement / Vision
Staff qualification matrix / Contracts / Maternity leaves

Diversity

Non-discrimination policies
Targeted support for marginalized groups

HR Administration

Contracts
Salary scale
Sample grievances
Attendance sheets
Vital statistics
Staff qualification matrix

External Relations

Community Relations

Promotion and marketing records
Constituency relations file
Awareness building records
Reports / Pamphlets / Brochures / Website
Constituency feedback
Government relations file
Collaborative schemes
Networking file: alliances, partnerships
Coordination plans and schemes
Media file
Advocacy records

Financial

Annual financial plans
Annual financial reports
Annual budget
Contingency financial plans
Fundraising strategy
Vital statistics / Sample project proposal
Purchases and procurement system
Updated list of assets
Last inventory
General accounting policy manual or documented procedures
Financial transactions
Vehicle use logbook
Last bank reconciliation
Cash book/Check register/Cash disbursement journal/General ledger of expenses
Registration certificate
Tax file
Last audited report

ANNEX E

Vital Statistics Matrix

ANNEX E

Vital Statistics Matrix

Time Series of Various Indicators

Number of	1996/1997	1997/1998	1998/1999	1999/2000	2000/2001
Board members					
Staff					
Consultants					
Saff hired					
Staff resigned					
Board meetings					
Staff meetings					
Computers					
Telephones					
Official Internet accounts					
Publications					
Advertisements					
Press releases					
Press conferences					
Radio shows					
TV appearances					
Newspaper articles / Reports / News					
Proposals submitted					
Proposals accepted					
Contracts signed					
Projects started					
Beneficiary organizations					
Beneficiaries (individuals)					
Beneficiary clusters (localities)					
Partnership agreements signed					
Joint projects with governments agencies					
Joint projects with other CSOs					
Joint projects with foreign institutions					
Foreign guests					
Invitations by foreign institutions					
International conferences attended					
Donations received					
Grants received					
Donors					
Books					
Journals and perodicals					
Annual subscriptions					
Website hits					
Conferences / Workshops					
Public events					
Project reviews					

Number of	1996/1997	1997/1998	1998/1999	1999/2000	2000/2001
M&E exercises					
Constituency meetings					
Needs assessment exercises					
Impact assessment exercises					
Training activities					
Advocacy activities					
Financial audits					

ANNEX F

Staff Qualifications Matrix

ANNEX F

Staff Qualifications Matrix

Name	**Title**	**Major**	**Highest Degree**	**Years of Experience**	**Date of Appointment**

ANNEX G

General Survey Triangulation Matrix

ANNEX G

General Survey Triangulation Matrix

Legend:

- DR: Document Review
- II: In-Depth Interviews
- DO: Direct Observation

MANAGEMENT				
Governance				
		DR	II	DO
1	Does the organization have a board or a similar independent governing body with a well-defined and written mandate?	Internal by-laws		
2	Does the board provide the organization with: • Oversight and accountability • Policy definition	Board mandate	Chairman of the Board	
3	Does the Board systematically keep business records?	Board meeting minutes		
4	Does the organization have a written mission statement?	Written mission statement		
5	Do mechanisms and structures exist for ensuring participatory management by leadership?	Internal by-laws / Organigram		
Planning				
		DR	II	DO
1	Does the organization routinely engage in planning activities concerning its various programs and projects?	Planning system / Sample plans		
2	Are concerned staff involved in the organization's planning exercises?	Planning system / Sample plans		
3	Does the planning process benefit from reviews of previous plans?	Planning system / Sample plans / Planning workshops and activities		
4	Does the organization have written implementation plans (annual, semi-annual, etc)?	Plans		
5	Are implementation plans updated or adjusted as a result of the monitoring process?	Feedback / Project evaluations / Planning system		
Administration				
		DR	II	DO
1	Does the organization have adequate office space to properly conduct its main functions?			XX
2	Does the organization have enough furniture, office equipment, and tools to support its main functions?			XX
3	Does the organization have enough administrative support services (secretariat work, reception, PC maintenance, cleaning, etc)?			XX
4	Is there a documented procedure for recording, filing, and intra-office communications?	Internal procedures		

Information Systems				
		DR	II	DO
1	Does the organization have adequate and updated information resources (books, magazines, films, CDs, databases, etc) to implement its programs and deliver its services in an appropriate fashion?			XX
2	Does the organization have a system to manage its information resources?	MIS		XX
3	Does the organization have an in-house capacity (human and systems) to manage its information system?			XX
4	Does the organization effectively use relevant available information in its various activities (planning, implementation, evaluation, etc)?		ODC	
Continuous Improvement				
		DR	II	DO
1	Does the organization routinely upgrade its technical procedures and practices?	Technical procedures		
2	Does the organization review and if necessary modify its administrative procedures?	Administrative procedures		

PROGRAM DELIVERY				
Technical Expertise				
		DR	II	DO
1	Does the organization possess the necessary internal technical competencies (knowledge, skills, and attitudes) in its main service areas?	Staff qualification matrix, internal technical practices		
2	Does the organization have documented technical procedures and practices in its main service areas?	Technical procedures / Manual		
3	Does the organization have in-house quality assurance systems?	Quality control procedures		
4	Is the organization able to acquire additional technical knowledge and expertise if need arises?	Vital statistics		
5	Does the organization effectively employ its technical skills in its main services?		ODC	
Comparative Advantage				
		DR	II	DO
1	Does the organization believe that it can consistently deliver its product or services more effectively relative to other organizations?	Vital statistics		
Program Development				
		DR	II	DO
1	Does the organization regularly conduct needs assessment exercises?	Needs assessment exercises		
2	Are needs assessment exercises participatory?	Needs assessment exercises		
3	Are the organization's programs generally needs-driven?	Needs assessment exercises		
4	Does the organization regularly seek feedback from project beneficiaries in its program design?	Needs assessment exercises		
Monitoring and Evaluation				
		DR	II	DO
1	Does the organization have an operational and documented project management system?	Project management system / Progress reports		
2	Does the organization collect baseline information prior to project implementation?	Documented PME system (planning matrix and report formats)		
3	Does the organization develop measurable objectives and clear indicators of the success of its programs?	Log-frame matrices, project plans		
4	Does the organization regularly conduct impact assessment exercises?	Sample impact assessments		
5	Does the organization involve project beneficiaries in its monitoring and impact assessment exercises?	Internal technical procedures / Organigram / Internal administrative procedures		
6	Are results of monitoring and evaluation/impact assessment exercises shared with staff?	Staff business records / Sample impact assessment exercises		

Sustainability				
		DR	II	DO
1	Does the organization have an operational policy to ensure that its services are responsive to constituency needs?	Needs assessment exercises, constituency feedback		
2	Does the organization have plans for enabling its constituency to assume management responsibilities in its service delivery?		ODC	
3	Has the organization developed systems for the continuation of its program in the medium and long-term?	Medium and long-term plans / Fundraising strategy	ODC	
4	Does the organization have programmatic phasing-out strategies?		ODC	

HUMAN RESOURCES				
Organizational Structure				
		DR	II	DO
1	Does the organization have an organizational chart that shows the most significant units and functions of the organization?	Organigram		
2	Are the lines of authority and communication well defined in writing?	Internal technical procedures / Organigram / Internal administrative procedures		
3	Are there defined mechanisms for coordinating the work of the different functions of the organization?	Internal technical procedures / Organigram / Internal administrative procedures		
4	Are there policies and mechanisms to resolve conflicts between units or colleagues?	Internal technical procedures / Organigram / Internal administrative procedures		
5	Do staff have clearly defined and documented job descriptions?	Job descriptions		
Personnel				
		DR	II	DO
1	Are staff members appraised periodically according to transparent performance-based criteria (results discussed with the concerned staff members for example)?	Staff appraisals, personnel manual		
2	Is there an updated human resources development plan?	HRD plan		
3	Is there a budget allocation for staff training and development?	Budget		
4	Does the organization encourage its staff to continuously train and upgrade their knowledge and skills?	Vital statistics / Staff development policies		
Organizational Culture				
		DR	II	DO
1	Are their operational policies to strengthen the staff's understanding and commitment to the organization's mission and societal role?	Internal systems / Records on staff participation		
2	Are staff encouraged to actively participate in the design, implementation, and review of the organization's various projects?	Appropriate documentation		
3	Are staff encouraged to ascribe to a particular set of ethical standards, values, beliefs, or practices such as to express their opinion freely, take initiative, teamwork, diligence, minimizing the use of paper, etc?	Mission statement, vision		
4	Is the organization gender-sensitive in its various internal practices?	Staff qualification matrix, contracts, maternity leaves		
Diversity				
		DR	II	DO
1	Does the organization provide equal job opportunities for all qualified candidates?	Non-discrimination policies		
2	Do traditionally under-represented stakeholder groups have equitable access to, and equal benefit from, project activities?	Targeted support for marginalized groups	ODC	

HR Administration				
		DR	II	DO
	Does the organization have documented policies and procedures for:			
1	• Recruitment, contractual terms, and conditions of employment (rights and privileges)	Contracts		
2	• Compensation and benefits	Salary scale		
3	• Grievances	Sample grievances		
4	• Working hours and standards	Attendance sheets		
5	Do these systems encourage good performance, low turnover, and high staff morale?	Vital statistics, staff qualifications matrix		

EXTERNAL RELATIONS				
Community / Constituency Relations				
		DR	II	DO
1	Do you believe that there are adequate channels for the community / constituency to access the organization?		ODC	
2	Are the organization's programs actively marketed to its constituency?	Promotion and marketing records	ODC	
3	Does the organization actively educate and build awareness among its constituency?	Constituency relations file: awareness-building records		
4	Does the organization have adequate materials (books, reports, website, etc) that reflect its mission, goals, objectives, and various activities?	Reports, pamphlets, brochures, website		
5	Has the organization been successful in gaining the acceptance and support of its constituency?	Constituency relations file: constituency feedback		
Government Relations				
		DR	II	DO
1	Does the organization generally maintain good working relations with relevant government institutions?	Government relations file: collaborative schemes		
2	Do relevant government institutions show appreciation for the organization's developmental role?	Government relations file		
3	Are the organization's activities and recommendations integrated into government development plans?	Government relations file		
4	Do relevant government institutions seriously involve the organization in the design or implementation of programs or services?	Government relations file		
Networking and Coordination				
		DR	II	DO
	Does the organization have an operational policy to:			
1	• Build alliances with other members of its cohort?	Networking file: alliances, partnerships		
2	• Create effective programmatic collaborative linkages with relevant organizations?	//		
3	• Share resources with other members of the cohort?	Networking file: resource sharing		
4	• Coordinate its programs with other organizations in order to minimize duplication and maximize complementary work?	Networking file: coordination plans and schemes		
5	Is the organization an active member of a federation / network?	Networking file		
Media				
		DR	II	DO
1	Does the organization use media (newspapers, radio, TV) effectively to reach its constituency, expose and promote its work, and influence the public and decision makers (advocacy)?	Media articles, press releases		
2	Does the organization attract positive media attention?	Media file		
3	Do the media consult the organization on relevant issues?	Media file		

Advocacy				
		DR	II	DO
1	Does the organization have an advocacy strategy in its main program areas?	Advocacy records	ODC	
2	Does the organization work with other organizations on advocacy issues?	Advocacy records	ODC	
3	Has the organization developed adequate in-house skills and resources to carry out advocacy campaigns?	Advocacy records	ODC	

FINANCE				
Budgeting				
		DR	II	DO
1	Are financial projections made?	Annual financial plans		
2	Are financial projections usually accurate?	Financial plans / Annual financial reports		
3	Do established procedures exist to regularly maintain revenues and expenses in balance?	Annual budget/ Annual financial reports		
4	Are there financial contingency plans?	Contingency financial plans		
Fundraising				
		DR	II	DO
1	Does the organization have an effective fundraising strategy?	Fundraising strategy		
2	Has the organization succeeded in accessing diversified resources to contribute to its activities during the past three years?	Vital statistics		
3	Does the organization have the capacity to develop proposals and respond to tenders?	Vital statistics / Sample project proposal		
4	Does the organization have a fee for services and/or other cost-recovery mechanisms built into service delivery where appropriate?	Vital statistics		
Procurement				
		DR	II	DO
1	Is there a procurement system in operation?	Purchases and procurement system		
2	Are procedures followed to ensure that procurement is effected at competitive prices (multiple bids)?	Purchases and procurement system		
3	Are detailed records of capital assets / property / equipment maintained?	Updated list of assets		
4	Are physical inventories of property / equipment conducted regularly?	Last inventory		
Accounting				
		DR	II	DO
	Does the organization maintain a policy manual or documented procedures covering:			
1	• General organizational accounting procedures	General accounting policy manual or documented procedures		
2	• Approval authority for financial transactions	Financial transactions		
3	• Guidelines for controlling expenditures, such as purchasing requirements and travel	Vehicle use log-book		
4	• Payroll and petty cash	Last bank reconciliation		
5	Does the organization maintain cash book / check register / cash disbursement journal / general ledger of expenses, etc?	Cash book/Check register/Cash disbursement journal/General ledger of expenses		
Compliance				
		DR	II	DO
1	Is the organization registered according to relevant government legislation?	Registration certificate		
2	Does the organization conform to standard tax and labor regulations and requirements?	Tax file		
3	Are there annual financial reports prepared by a registered auditor?	Last audited report		

ANNEX H

General Survey Scoring Sheet

ANNEX H

General Survey Scoring Sheet

Component	Indicator	Weight	Indicator Score	Adjusted Indicator Score	Normalized Adjusted Indicator Score	Component Score	Normalized Component Score	Indicator Capacity Score
Management		20						
	Governance	5						
	Planning	5						
	Administration	4						
	Information system	4						
	Continuous improvement	2						
		20						
Program Delivery		20						
	Technical expertise	5						
	Comparative advantage	1						
	Program development	4						
	Monitoring and evaluation	6						
	Sustainability	4						
		20						
Human Resources		20						
	Organizational structure	5						
	Organizational culture	4						
	Personnel	4						
	Diversity	2						
	HR administration	5						
		20						

Component	Indicator	Weight	Indicator Score	Adjusted Indicator Score	Normalized Adjusted Indicator Score	Component Score	Normalized Component Score	Indicator Capacity Score
External Relations		20						
	Community / constituency relations	5						
	Government relations	4						
	Networking and coordination	5						
	Media relations	3						
	Advocacy	3						
		20						
Finance		20						
	Budgeting	4						
	Fundraising	4						
	Procurement	4						
	Accounting	5						
	Compliance	3						
		20						
TOTAL		100						

Definition of Terms:

- The Indicator Score is obtained by adding the scores of the various questions, which fall under the given indicator in the General Survey Questionnaire.

- The Adjusted Indicator Score is obtained by adding up the scores of the triangulated questions, which fall under the given indicator in the General Survey Questionnaire.

- The Component Score is obtained by adding up the adjusted scores of the five indicators, which fall under the given component.

- The Normalized Adjusted Indicator score is obtained by multiplying the indicator score by 10, then dividing by the indicator weight

- The Normalized Component Score is obtained by dividing the Component Score by 2.

- The Indicator Capacity Status is given to each indicator according to the following rule:

Normalized Indicator Score	Indicator Capacity Status
0-5	Poor, Needs Substantial Improvement
5-8	Reasonable, Needs Some Improvement
8-10	Adequate, Needs Maintaining

ANNEX I

Climate Survey Questionnaire

TAMKEEN

Organizational Climate Survey

PONAT

RAMALLAH - PALESTINE

INSTRUCTIONS

This climate survey is part of a multifaceted tool composed of a general survey, focus group work with beneficiaries, and other components, designed by Tamkeen to measure the capacity of your organization in order to design and implement a comprehensive program to further build its capacity. The climate survey aims to identify the perceptions, attitudes, and opinions of the organization's staff on various aspects of the organization's internal systems and procedures and the prevalent organizational culture. The survey is anonymous and participants are expected to answer the survey questions with objectivity and candidness. No individual responses will be identified. Alternatively, trends and statistical indicators will be identified and measured. All participants are assured that their responses will remain absolutely confidential and will be the sole ownership of Tamkeen.

Background Variables

Some demographic information is needed to analyze the results of the survey and to develop plans on how to improve the climate of your organization. Background variables include the position you hold (board member, staff, volunteer, other), your gender, and age group.

Answers

In some cases, you might hesitate to answer a question because you have an impression and an opinion but no first-hand knowledge. It turns out that what you think and how you feel is as important as what you know for sure in this type of survey. But, if you read a question and have neither first-hand knowledge nor any strong impression, feelings, or opinion, you are requested to leave it blank.

Your Comments

When you complete this survey, if you feel there is a subject that has been overlooked but is important for assessing the organizational climate of your CSO, you may attach a sheet with your comments. Do not include comments of a personal or confidential nature that cannot be published with the results of the report.

Instructions for Filling Out the Survey

Use either a pencil or a pen.

- If you strongly disagree with the statement, circle or fill in ⓿
- If you disagree with the statement, circle or fill in ❶
- If you feel neutral, circle or fill in ❷
- If you agree with the statement, circle or fill in ❸
- If you strongly agree with the statement, circle or fill in ❹

There are no right or wrong answers. What you think or feel is what is important for this survey.

Climate Survey Questionnaire

I am a:

Board member	Staff	Volunteer	Other (specify)

I am a:

Male	Female

My age is between:

18-30 years	31-45 years	45-65 years	Over 65 years

Management

Governance		*Strongly disagree*				*Strongly agree*
1	I believe that the board provides the organization with: • Oversight and accountability • Policy definition	⓿	❶	❷	❸	❹
2	I am satisfied with the way decisions are made in the organization	⓿	❶	❷	❸	❹
3	Leaders are found at all employee levels in the organization	⓿	❶	❷	❸	❹
4	The organization has a competent leadership	⓿	❶	❷	❸	❹
5	I understand my organization's mission	⓿	❶	❷	❸	❹
Planning						
1	The planning process at the organization benefits from reviews of previous planning	⓿	❶	❷	❸	❹
2	Stakeholders are involved in the organization's planning exercise	⓿	❶	❷	❸	❹
3	The organization routinely obtains *employee* input on work quality and customer service issues	⓿	❶	❷	❸	❹
Administration						
1	The organization has adequate office space	⓿	❶	❷	❸	❹
2	The organization's offices are furnished satisfactorily	⓿	❶	❷	❸	❹
3	The organization has enough equipment to support its main functions	⓿	❶	❷	❸	❹
4	I have the tools and equipment I need to perform well	⓿	❶	❷	❸	❹
5	I am comfortable working with the tools and equipment in my department	⓿	❶	❷	❸	❹
6	I enjoy adequate administrative support	⓿	❶	❷	❸	❹
7	The organization has a documented procedure for recording and filing	⓿	❶	❷	❸	❹
8	The organization has an adequate procedure for intra-office communications	⓿	❶	❷	❸	❹

		Strongly disagree				*Strongly agree*
Information Systems						
1	The organization has the information resources that I need to perform my work	⓿	❶	❷	❸	❹
2	The organization has a good system to manage its information resources	⓿	❶	❷	❸	❹
3	Usually I *understand* why most things are done in a certain way	⓿	❶	❷	❸	❹
Continuous Improvement						
1	The organization routinely reviews and modifies its technical and administrative procedures	⓿	❶	❷	❸	❹

Human Resources

Organizational Structure		*Strongly disagree*				*Strongly agree*
1	The organizational structure is adequate	⓿	❶	❷	❸	❹
2	The lines of authority and communication are clear and well defined	⓿	❶	❷	❸	❹
3	There are adequate mechanisms for coordinating the work of the different functions of the organization	⓿	❶	❷	❸	❹
4	There are adequate policies and mechanisms to resolve conflicts between units or colleagues	⓿	❶	❷	❸	❹
5	Staff have clearly defined and documented job descriptions	⓿	❶	❷	❸	❹
Personnel						
1	Staff members are appraised periodically according to fair performance-based criteria	⓿	❶	❷	❸	❹
2	My performance evaluations provide me guidance on how to improve in performing my work	⓿	❶	❷	❸	❹
3	We receive performance-based incentives	⓿	❶	❷	❸	❹
4	I am satisfied with the opportunity I have to enhance my job-related skills and knowledge	⓿	❶	❷	❸	❹
5	I have received enough training to help me enhance my performance	⓿	❶	❷	❸	❹
6	I have the knowledge and skills I need to do my job	⓿	❶	❷	❸	❹
7	My job makes good use of my skills and abilities	⓿	❶	❷	❸	❹
Organizational Culture						
1	I understand the organization's mission	⓿	❶	❷	❸	❹
2	There are operational policies to strengthen the staff's commitment to the organization's mission and societal role	⓿	❶	❷	❸	❹
3	I personally believe that my organization's values / principles are good for the organization	⓿	❶	❷	❸	❹
4	Staff are encouraged to actively participate in: • Review and modification of the organization's mission • Program design and project planning • Project review	⓿	❶	❷	❸	❹
5	There are operational policies to encourage staff to: • Take initiative • Be critical	⓿	❶	❷	❸	❹

		Strongly disagree				*Strongly agree*
6	People in my organization feel they can take reasonable risks in testing better ways of doing things	⓿	❶	❷	❸	❹
7	Staff are encouraged to express their opinion freely	⓿	❶	❷	❸	❹
8	The organization is gender-sensitive in its various internal practices	⓿	❶	❷	❸	❹
9	Decisions, services, and procedures in my organization usually consider customer needs as top priority	⓿	❶	❷	❸	❹
10	The organization takes corrective action when customers are dissatisfied with our services	⓿	❶	❷	❸	❹
Diversity						
1	People from all backgrounds are treated fairly in my organization	⓿	❶	❷	❸	❹
2	The organization respects cultural differences among its staff	⓿	❶	❷	❸	❹
HR Administration						
	I know that the following policies and procedures are applied and adhered to:					
1	• Recruitment	⓿	❶	❷	❸	❹
2	• Contractual terms and conditions of employment	⓿	❶	❷	❸	❹
3	• Compensation	⓿	❶	❷	❸	❹
4	• Work standards	⓿	❶	❷	❸	❹
5	• Grievance	⓿	❶	❷	❸	❹
6	• Termination	⓿	❶	❷	❸	❹
7	I believe that these systems are sound	⓿	❶	❷	❸	❹
8	I am satisfied with my current rate of pay	⓿	❶	❷	❸	❹
9	My job provides for promotion opportunities	⓿	❶	❷	❸	❹
10	I am satisfied with the way merit increases, pay raises, and promotion opportunities are given in my department	⓿	❶	❷	❸	❹
11	I enjoy coming to work every day	⓿	❶	❷	❸	❹

ANNEX J

Climate Survey Scoring Sheet

ANNEX J

Climate Survey Scoring Sheet

Human Resources

Indicator	Questions	Average Question Score (out of 4)	Average Indicator Score (out of 4)	Normalized Indicator Score (out of 10)	Indicator Satisfaction Status
Governance	101				
	102				
	103				
	104				
	105				
Planning	201				
	202				
	303				
Administration	301				
	302				
	303				
	304				
	305				
	306				
	307				
	308				
Information System	401				
	402				
	403				
Continuous Development	501				
Organizational Structure	601				
	602				
	603				
	604				
	605				
Personnel	601				
	602				
	603				
	604				
	605				
	606				
	607				

Indicator	Questions	Average Question Score (out of 4)	Average Indicator Score (out of 4)	Normalized Indicator Score (out of 10)	Indicator Satisfaction Status
Organizational Culture	601				
	602				
	603				
	604				
	605				
	606				
	607				
	608				
	609				
	610				
Diversity	601				
	602				
HR Administration	601				
	602				
	603				
	604				
	605				
	606				
	607				
	608				
	609				
	610				
	611				

Definition of Terms:

- The Question Average Score is the average of all valid responses to the question.
- The Indicator Average Score is the average of averages of all questions pertaining to it.
- The Normalized Average Indicator Score is obtained by multiplying the average indicator score by 10 and dividing by 4.
- The Indicator Satisfaction Status is given to the indicator according to the following rule:

Normalized Indicator Score	Indicator Satisfaction Status
0-5	Poor Satisfaction
5-8	Reasonable Satisfaction
8-10	Adequate Satisfaction

ANNEX K

Focus Group Kit

TAMKEEN

Focus Group Kit

PONAT

RAMALLAH - PALESTINE

INSTRUCTIONS

The focus group work with beneficiaries is part of a multifaceted tool composed of a general survey, climate survey, and other components, designed by Tamkeen to measure the capacity of an organization in order to design and implement a comprehensive program to further build its capacity. The focus group aims to explore the perceptions and attitudes of a representative group of the CSO's constituency regarding the CSO's products and services on one hand, and the way it relates to them on the other. The focus group results will be used as a means of triangulating the general survey results in general, and the program delivery and external relations in particular. The number of focus group meetings to be held depends on the number of projects, the number of beneficiaries, and their geographic spread.

The results of the focus group meetings will be documented in the form of a report. The report will include a special section called "Conclusions and Recommendations." In this section, the five indicators under program delivery and the first three indicators of external relations will be rated as:

- Poor satisfaction
- Reasonable satisfaction
- Adequate satisfaction

The focus group kit includes the following three components:

A. Letter of Invitation
B. Tips on Focus Group Moderation, Analysis, and Reporting
C. Questioning Route

A. Letter of Invitation

Subject: Focus Group Meeting
[Name and address of participant]

Pursuant to earlier communication in this regard, we wish to formally invite you to participate in the focus group meeting to be held at [time and date] at the [name and address of meeting place]. The meeting will conclude by [time].

The meeting you will be attending is a forum of a representative group of beneficiaries of the services offered by [name of CSO] in addition to a limited number of other stakeholders. The participants will be requested to present their views on the relevance, quality, and developmental value of the services offered by the CSO and their opinion on the organization's community orientation and linkages. An in-depth discussion will follow. The outcome of the discussions, including highlights of opinions and interventions and recommendations, will be reported to the CSO's senior management and Tamkeen. The report will constitute valuable input toward capacity building of the CSO and the enhancement of its services. At the conclusion of the meeting, you will receive a token of our appreciation.

If for some reason you are unable to attend, please call us to let us know as soon as possible. Our telephone number is [telephone number].

We look forward to seeing you on [date].

Sincerely,

[Name]
Tamkeen

B. Tips on Focus Group Moderation, Analysis, and Reporting

Moderation

- Be well prepared and alert for the focus group session
- Practice introduction without referring to notes
- Remember questions without referring to notes
- Be cautious to avoid head nodding
- Avoid comments that signal approval, such as “excellent,” “great,” etc
- Avoid giving personal opinion
- Prepare a brief summary of key points immediately after the session is concluded
- Check to see if the tape recorder captured the comments

Questions

- The introductory question should be answered quickly
- Questions should flow in a logical sequence
- Key questions should focus on the critical issues of concern
- Limit the use of “why” questions
- Use “think back” questions as needed

Logistics

- The room should be satisfactory
- Background noise should not interfere with the tape-recording
- Have name tags and/or name tents for participants
- A remote microphone should not interfere with the tape-recording
- Bring extra tapes, batteries, and extension cords

Focus Group Analysis

Material needed:

- A copy of the questioning route
- Copies of transcripts
- Tapes of interviews
- Filled out flip charts
- Demographic information about the participants
- Copies of the moderator and assistant moderator summaries or notes

Method of analysis:

- Read all summaries at one sitting. Make note of all trends and patterns. Strongly and frequently held opinions should also be documented.
- If transcripts are available, read each transcript. Mark sections of the transcript that relate to each question in the questioning route. Mark participant comments that may be worthy of future quotations.
- Examine one question at a time. Concentrate on one issue or question at a time. After all responses to a question have been examined, prepare a brief summary statement that describes the discussion.
- When conducting the analysis:

  - Consider the words
  - Consider the context
  - Consider the internal consistency
  - Consider the specificity of responses
  - Find the big ideas
- Consider the purpose of the report

Focus Group Report

1. Cover page: The front cover should include the title “A Focus Group Report on Beneficiary Assessment of the Services of CSO,” names of moderators, and the date the report is submitted.
2. Summary: A brief well-written summary, which describes the purpose of the focus group, major conclusions, and recommendations.
3. Table of contents: This section is optional and need not be included when the report is brief.
4. Results: Most often, results are organized around key questions or major ideas in the focus group interview. The results can be presented by using only raw data, using descriptive summaries, or using the interpretive approach.
5. Limitations and alternative explanations: This section can be placed within the results category if it is brief. Limitations refer to those aspects of the study that limit the transfer of findings and the use of procedures that prevent conclusive statements about the programs.
6. Conclusions and recommendations: The conclusions pull together the findings into clear summary statements. Recommendations are optional.
7. Appendix: The final section of the report is the appendix, which includes additional materials that might be helpful to the reader, such as the questioning route and the screening questionnaire, as well as a profile of focus group participants.

C. Questioning Route

Issues to be presented for discussion include the following:

Constituency Participation

- Are you familiar with the CSO's mission and its main developmental or societal role?
- How did you learn about the CSO, what are your main sources of information about it?
- Have you visited the CSO's offices, have you been able to interact with its staff, obtain any of its publications, etc?
- Have you been involved in any needs assessment, program design, or planning activity of the CSO. Can you describe the nature and scope of your involvement?
- Have you been involved in the evaluation of the CSO's programs and their impacts?
- Does the organization share impact assessment findings with various stakeholders?

Constituency Satisfaction

- Do you feel that the organization's programs respond to an actual client need?
- Do you believe that the organization is successful in adapting to the changing needs of its target group?
- Do you feel that the organization's services are truly useful?
- Are you generally satisfied with the quality of the organization's services?
- Are you willing to share the cost of these services?
- Do you feel comfortable with the organization's staff?
- Do you wish to see them continue and expand their services?
- Based on your own direct experience, do you find the CSO's staff competent and capable of accomplishing the work assigned to them? Did you find them friendly and professional? Did they seem enthusiastic about their work? Did they seem to really care about their constituency?
- How do the CSO's services compare with those of other CSOs of similar function?
- What do you like most about the organization? What do you dislike most?

Constituency Suggestions

- What are the aspects of CSO's services that most need improvement?
- What are your suggestions for improvement?
- What are the CSO's services that you value most?
- How do you compare the CSO's services with organizations of similar functions?
- What are your suggestions for improving the CSO's social image and services?
- What are your suggestions for consolidating the CSO's ties with the community?
- What are your suggestions for the general enhancement of the CSO's image?
- What are your suggestions for increased community participation in the CSO's functions?
- What are your suggestions for securing sustainability of the CSO's services?

ANNEX L

Integrated Score Sheet

ANNEX L

Integrated Score Sheet

Component / Indicator	General Survey Normalized Score	Climate Survey Normalized Score	Beneficiary Satisfaction Status	OD Priorities	Priority Rank
Program Delivery	XXX		XXX	XXX	XXX
				XXX	XXX
Technical Expertise	XXX		XXX	XXX	XXX
Comparative Advantage	XXX		XXX	XXX	XXX
Program Development	XXX		XXX	XXX	XXX
Monitoring and Evaluation	XXX		XXX	XXX	XXX
Sustainability	XXX		XXX	XXX	XXX
Management	XXX			XXX	XXX
				XXX	XXX
Governance	XXX	XXX		XXX	XXX
Planning	XXX	XXX		XXX	XXX
Administration	XXX	XXX		XXX	XXX
Information Systems	XXX	XXX		XXX	XXX
Continuous Improvements	XXX	XXX		XXX	XXX
Human Resources	XXX	XXX		XXX	XXX
Organizational Structure	XXX	XXX		XXX	XXX
Personnel	XXX	XXX		XXX	XXX
Organizational Culture	XXX	XXX		XXX	XXX
Diversity	XXX	XXX		XXX	XXX
HR Administration	XXX	XXX		XXX	XXX
External Relations	XXX			XXX	XXX
Community / Constituency Relations	XXX		XXX	XXX	XXX
Government Relations	XXX			XXX	XXX
Networking and Coordination	XXX			XXX	XXX
Media Relations	XXX			XXX	XXX
Advocacy	XXX			XXX	XXX
Finance	XXX			XXX	XXX
Budgeting	XXX			XXX	XXX
Fundraising	XXX			XXX	XXX
Procurement and Asset Management	XXX			XXX	XXX
Accounting	XXX			XXX	XXX
Compliance	XXX			XXX	XXX